



Enabling poor rural people
to overcome poverty

Botswana

Agricultural Services Support Project (ASSP)

Supervision Report

2nd Joint Implementation Support Mission

Main report and appendices

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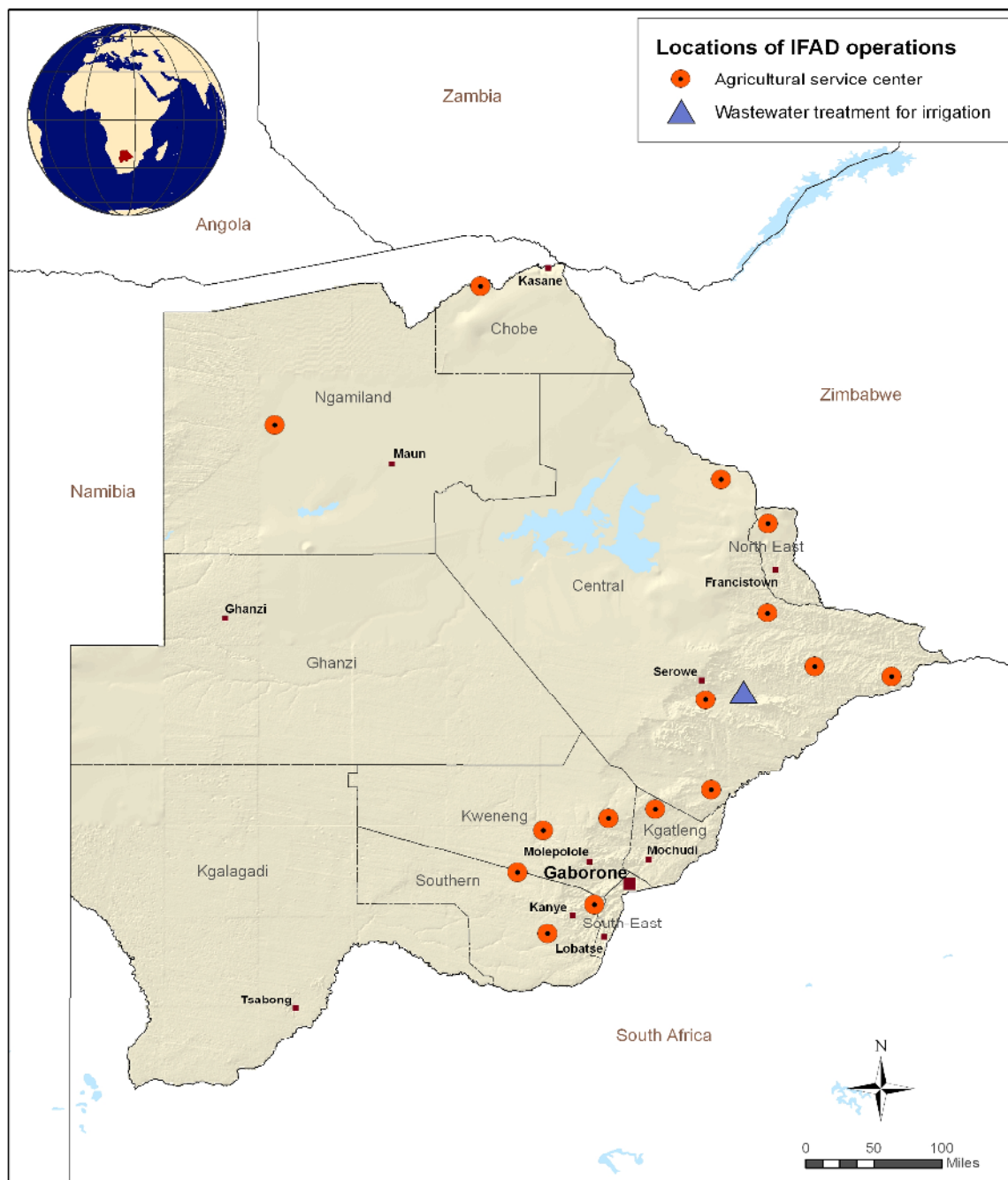
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MAP

Botswana

Agricultural Services Support Project



The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delimitation of the frontiers or boundaries, or the authorities thereof.

Map compiled by IFAD

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Abbreviations and acronyms

AD	Agricultural Demonstrator (Extension Agent)
AIDS	Acquired Immune Deficiency Syndrome
ASC	Agricultural Service Centre
ASSP	Agricultural Services Support Project
AWPB	Annual Work Plan and Budget
BCA	Botswana College of Agriculture
BWP	Botswana Pula
CA	Conservation Agriculture
DCP	Department of Crop Production (MOA)
EA	Extension Area
FAO	Food and Agriculture Organization of the United Nations
FFS	Farmers' Field School
GoB	Government of Botswana
HIV	Human Immunodeficiency Virus
HQ	Headquarters
IFAD	International Fund for Agricultural Development
ISPAAD	Integrated Support Programme for Arable Agricultural Development
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MFDP	Ministry of Finance and Development Planning
MIS	Management Information System
MoA	Ministry of Agriculture
MTR	Mid-Term Review
NAMPAADD	National Master Plan for Arable Agriculture and Dairy Development
NGOs	Non-Governmental Organizations
PIM	Project Implementation Manual
PCR	Project Completion Report
PM&E	Planning, Monitoring and Evaluation
PMT	Project Management Team
PSC	Project Steering Committee
RIMS	Results and Impact Management System
SMSs	Subject Matter Specialists

A. Introduction¹

1. The Agricultural Services Support Project (ASSP) financing agreement was approved by IFAD's Executive Board in December 2010 and became effective on February 22, 2012 with the signature of the Financing Agreement and will complete on February 22, 2017. This USD 25.02 million project is jointly financed by the Government of Botswana (USD 19.08m) and the International Fund for Agricultural Development (USD 5.6m divided between a loan USD 4.04m and a grant of USD 1.61m). The goal of the project is to contribute to economic diversification, reduction of rural poverty and food insecurity, and improved livelihoods of rural communities. The development objective is to achieve a viable and sustainable smallholder agricultural sector based on farming as a business which is not reliant on subsidies or welfare measures. Key anticipated results are a significant increase in household income from crop production in 13,000 of the 20,000 targeted households by 2016, and an increase in average cereal yields from 0.25 t/ha to 1.0 t/ha. In addition, the ASSP is to construct and render functional 15 Agricultural Service Centres (ASC) located in 7 districts and build and implement a 29 ha wastewater irrigation scheme to grow horticultural produce.

2. The objectives of the mission were to assess progress against objectives materialized in the April 2012-March 2013 annual work plan and budget, provide implementation support to both technical and financial management aspects of project implementation, and help the team develop a monitoring and evaluation system as a key management tool going forward. Two field trips were conducted during the course of the mission. A one day field trip was taken to visit a GoB facility in Good Hope which provides mechanization services to commercial farmers. The mission then visited two large farms in the area which used the mechanization services provided by the centre and discussed different aspects of the GoB agricultural subsidy programme with a farm owner and farm manager. The group continued on to MoA sub-district office in Mmathethe which is a future site of an ASC to discuss mechanization issues with sub-district officials. A second group travelled to Palapye for three days to ascertain progress on the pilot wastewater irrigation scheme, including land clearing & allocation, environmental impact assessment, water quality and availability. The mission met with the MoA Sub-district office, Water Utilities Corporation and Land Board in Palapye, the Department of Environmental Affairs and the MoA Central District Department of Agriculture in Serowe and the MoA Agribusiness department in Gaborone.

3. To facilitate the collection and sharing of information and to solicit input from stakeholders on key strategic issues, the Project Management Team (PMT) organized three roundtable discussions on financial management, the establishment of ASCs and monitoring and evaluation which were attended by a wide cross-section institutions involved in ASSP implementation. Mission members met with the Assistant Minister of Agriculture, the Deputy Permanent Secretary from the MoA, The Director and Deputy Director of Crop Production, and senior officials within the Ministry of Finance and Development Planning (MFDP). A wrap-up meeting was held at the Ministry of Agriculture which was attended by several members of the Project Steering Committee as well senior officials within the MoA.

4. The mission would like to express its appreciation to MoA senior management, officials from the MFDP, the PMT, the Palapye Land Board, WUC Palapye, DEA Serowe, the MoA Palapye Sub-district and Serowe Central District, Agribusiness department and the NAMPAAAD Mechanization facility at Good Hope for their availability and constructive efforts. In particular, the mission recognizes with thanks the involvement of the GoB mission team members for their valuable insights and contributions.

¹ Mission composition: Geoffrey Livingston, CPM and Mission Leader; Helle Qwist-Hoffmann, Botswana-based consultant and Deputy Mission Leader; William Oliemans, irrigation consultant; Godfrey Wanjohi, financial management consultant, Oscar Damen, M&E consultant, Nelson Kabomo, GoB principal agricultural mechanization officer, Pelontle Seabe, GoB youth officer; Ms Sebi, GoB agricultural officer.

B. Overall assessment of ASSP implementation

5. The ASSP has made very limited progress over the last six months, despite a high level of dedication by PMT members. At the current pace of implementation, it is unrealistic to expect that even a small part of anticipated objectives will be attained at project completion. The level of budget execution for the 2012-2013 annual work plan was 17% of projected expenditures, all of which were consumed by Component 3 (Project Management) thus no funds have been expended for either of the two technical components of the project. If one subtracts salaries to PMT staff, the level of budget execution falls to 2%. No IFAD funds (either loan or grant) have been spent to date.

6. Project procurement of goods and services is substantially behind schedule. Only a small portion of activities inscribed in the 2012-2013 AWP/B has been executed. For sub-component 1.1, Agricultural Mechanization, no action has taken place since project inception, excepting a recently conducted inventory of tractors and farm implements. For sub-component 1.2, Improved Rainfed Agricultural Practices, Terms of Reference have been finalized for a Research Extension Linkage Committee, the production of targeted messages on appropriate technologies for one targeted message among several programmed is on-going but six months behind schedule; programmed training for agricultural demonstrators and subject matter specialists was not conducted nor was the regional study tour to observe Farmer Field Schools as programmed in the annual work plan. For sub-component 1.3, Pilot Scheme for Small Holder Waste Water Irrigation, progress to date on debushing and preparation of the ToR for the Design of the scheme has been brought into question because the 24 of the 29 ha allocated to the MoA in April 2009 is the object of competing claims registered in 1987 and 1988.

7. Regarding sub-component 1.2, a training needs questionnaire for farmers was sent to district offices in late February but only four of 10 districts have responded. Two training courses for 90 extension agents were programmed but not implemented. An inventory of refurbishable vehicles destined for assignment to Agricultural District Offices has been conducted and 10 vehicles are currently on MoA premises awaiting a procurement process to tender for required repairs. Progress has been registered for sub-component 2.2, Agricultural Service Centres. A structure in Parakarungu has been identified for re-purposing. The plot in Tonota has been cleared and quotations are currently being collected for fencing the site and a temporary site has been identified for ASC activities pending the construction of the new building.. In Jwaneng, land has been secured and quotations are being collected for bush clearing. For Component 3, Project Management, approximately 50% of programmed workshops have been conducted. A tender to conduct a baseline survey was undertaken but the two resulting financial offers far exceeded the allocated budget thus a new procurement process will be initiated.

8. To increase the pace of project implementation, several measures are required. MoA senior management must play a far greater role in supporting and supervising project implementation. At the level of the PMT, the ASSP project manager needs to drive the execution of the AWPB by closely monitoring progress against deadlines and milestones and by assuming a more proactive role in leadership and problem resolution. A more equitable, realistic and rational allocation of responsibilities among MoA officers is critical. At present, the part-time Irrigation Officer is responsible for the agricultural mechanization sub-component, the pilot wastewater irrigation component and the ASC sub-component, representing almost 55% of the project budget. Finally, better communication between the MFDP and MoA is necessary to avoid a recurrence of problems which has hindered access to IFAD funds to date.

C. Outputs and outcomes

Component 1: Sustainable Agricultural Production

Sub-component 1.1: Agricultural Mechanization

9. There has been almost no progress in this sub-component. Of the activities inscribed in the 2012-2013 AWPB (3 workshops, tractor and implement survey, situational analysis, training for tractor

operators, development of model business plans by a consultancy, regional study tour), only the implement survey and one workshop were completed while the others have not yet started. The primary reason for the lack of progress is that the Irrigation Officer has been overburdened with too many responsibilities. The ASSP needs to accord priority to this sub-component as improving the efficient and timely access to draught power lies at the heart of increasing smallholder yields and income. ASSP and ISPAAD investments in agricultural inputs and the construction of ASCs can only have the desired impact if tractor service issues have been satisfactorily resolved.

10. In the short term, the ASSP needs to ensure that tractor operators for the 2013-2014 agricultural campaign are selected at an early stage and then undergo tractor operation and maintenance training at the five MoA training facilities. Associated costs for training such as transportation and per diems could be financed through the ASSP budget. At present, ISPAAD tractor operators cannot be trained through appropriate MoA training programmes. This is counterproductive to MoA goals of increased productivity. Secondly, the ASSP needs to move forward on the MoA objective to privatize (either through sale or lease) the 60 tractors and associated farming implements which are currently in the ISPAAD inventory. A decision must be taken on whether to lease with an option to buy or outright sale of the equipment. This should be informed through the situational analysis which is programmed in this year's annual work plan. Based on the decision of the MoA, the ASSP should rapidly move forward with the sale or lease of the equipment. Finally, the MoA needs to delegate a senior agricultural mechanization officer to pilot these vital activities.

Sub-Component 1.2: Improved Rainfed Agricultural Practices.

11. The 2012-2013 AWPB focus for Sub-Component 1.2 was to address a number of factors contributing to the prevailing low yields in the arable sub-sector. This would be done by facilitating the development and transfer of appropriate, improved agronomic technologies through establishment of links between research, extension and farmers (in the form of the establishment of a MoA-based Research Extension Linkage Committee), an assessment of the efficiency of the existing 'District Technical Committees' to coordinate demonstrations on farmers' fields, as well as through a 'targeted message' on conservation agriculture). A Training Needs Assessment (TNA) would be conducted to assess the training needs of *farmers* to adopt appropriate technologies. The project furthermore intended to conduct a regional tour for farmers and extension staff to study the Farmers' Field School approach in preparation for establishing Farmers' Field Schools on Conservation Agriculture in Botswana.

12. There has been very little progress on this sub-component. A combined 'Component-focused Workshop' was conducted in Tonota for all ASSP sub-components. Consultations and information meetings about ASSP have been conducted with the target community. A TNA form was sent to the ten Districts to assess *farmers'* training needs; four Districts replied. ToR was developed for the 'Research-Extension Linkage Committee', and an assessment made regarding the efficiency of the District Technical Committees' ability to coordinate demonstrations on farmers' fields. At the time of assessment two (out of the ten 'District Technical Committees') were active. (At the time of this 2nd Joint Implementation Support Mission five committees are active). The targeted message on conservation agriculture is under development (final product scheduled for Sep. 2013). The Farmers' Field School study tour was deferred to the AWPB 2013-2014. At the current rate of implementation, the sub-component will not reach its targets during the life of the project.

Sub-component 1.3: Palapye Wastewater Irrigation Scheme.

13. Progress in the Irrigation Component is behind schedule. Measured against the AWP/B for 2012-2013, some progress was noted on component activity 1.3.2 'Development of wastewater irrigation scheme', whilst little progress was made on activity 1.3.1 'Stakeholder consultation and analysis'. No progress was made on activity 1.3.3 'Compliance with established wastewater quality standards'. Of the ten agreed actions during the previous Implementation Support Mission, four have been partially completed. Work has not yet commenced on the remaining six agreed actions.

14. Good progress has been made on; (i) the preparation of the Terms of Reference (ToR) for the design of the wastewater irrigation scheme. The ToR was reviewed and requires minor changes

before finalisation. Partial progress was made on; (ii) debushing of the 29 ha plot in Palapye; (iii) the drafting of selection criteria for beneficiaries; and (iv) consultation with the Department of Cooperatives on the future set-up of a Water User Organisation. No progress was made on issues such the development of a management model for the scheme or the eligibility for financing for the type of smallholders that are foreseen in the pilot project. At the current rate of implementation, the component will not reach its objectives within the planned timeframe.

15. It was agreed that action would be taken on; (i) continued measurement of water quantity; (ii) procurement of water quality and wastewater risk analysis; (iii) procurement of the EIA and Design; (iv) securing the eligibility for financing for the future smallholders in the irrigation scheme; and (v) drawing up a training and communication programme for the beneficiaries.

16. *Land allocation:* In the course of the mission, it became clear that the land allocated for the scheme is not secured. This is an immediate threat to achieving the objectives of the component. A lease agreement for 29.37 ha of land in Palapye sub-district was signed between the Ministry of Agriculture and the Land Board on the 1st of May 2009². Based on the information provided by the Land Board, it is now apparent that of the total land allocated for the irrigation scheme, 23.3 ha is considered an 'encroachment' into the plot of a claimant. The individual received the title deed for a 100 ha plot in the area in 1987³. This conflicting allocation was not noted when the lease agreement was signed between the Ministry of Agriculture and the Land Board in 2009. It was agreed that urgent action of this issue would be taken to ensure any progress to be made in the component.

17. *Procurement of service providers and technical assistance:* Progress is decidedly behind schedule and, assuming the land allocation issue will be resolved, procurement of service providers and follow-up of activities on-the-ground are urgently required to reach the goals of the pilot project. There is a clear potential for viable horticulture business development in the scheme if the quality of design and implementation is adequate and a working management model for operation & maintenance is developed.

18. Given the limited availability of the Irrigation Officer in the PMT, there is a serious risk that this potential will not be realised.. It was agreed that the Palapye team would be strengthened through improved coordination and planning and to request that the DCP include the MoA Youth Officer in the field team. It was also agreed that international technical assistance would be procured to; (i) provide overall planning and implementation support to the component; (ii) develop a step-wise – multidisciplinary process integrating technical, horticulture business, scheme management and training-communication steps; and (iii) develop a well-documented scheme management model with an eye to future wastewater irrigation development in the country.

Component 2: Enabling Environment for Smallholder Agriculture

Sub-Component 2.1: Improved Delivery of Extension Services.

19. The 2012-2013 AWPB focus for Sub-Component 2.1 was to address some of the main constraints that limit the efficiency and outreach of the extension service. This would predominantly be done through appropriate capacity development of extension staff and through provision of transport and communication means to the ASC focus areas, Jwaneng, Parakarungu and Tonota.

20. Progress in this sub-component is significantly behind schedule. A combined 'Component-focused Workshop' was conducted in Tonota for all ASSP sub-components. Consultations and information meetings about ASSP have been conducted with extension staff at District and Sub-District levels. Sub-District level ASSP Focal Points have been selected and a Training-of-Trainers (ToT) course conducted to enable the focal points to lead ASSP processes in their Sub-Districts. Following the ToT, establishment of Sub-District ASSP Implementation Teams is now under

² The agreement entered into force on the 15th of April 2009 (retroactively).

³ An additional title deed was issued in 1988 for an additional 100 ha plot which partially (42.9 has) encroaches into the plot of the claimant. As can be seen on the sketch map provided by the Land Board, a small part of the 29.37 has is therefore 'triple allocated'.

consideration. Also following the ToT, the focal points are presently developing ASSP Sub-District AWPBs.

21. The planned TNA to assess the capacity development needs of extension staff to be able to facilitate ASSP at field level was not conducted. Hence, the intended trainings for SMSs and ADs on extension methodologies were also not conducted. Neither was the planned needs assessment and prioritization of hiring temporary extension staff (in lieu of the initially planned additional 50 ADs). With regard to provision of transport and communication for ADs: an inventory of refurbishable vehicles was conducted; as a result ten vehicles are now at MoA HQs awaiting refurbishment. The process for the procurement of the three vehicles for the ASC focus areas has just started and is significantly behind schedule. Procurement for the desktop and laptop computers as well as the internet modems and stationary is awaiting award in the coming days. A vehicle for the PMT was procured in May 2013. The planned review of MoA's input procurement process (in order to increase the probability of timely reception of inputs) was not conducted.

22. For ASSP to have any chances of success in reaching out to the target groups it is *crucial that the extension staff are actively involved in the execution of the project*, and that an enabling environment is created for them to be able to function efficiently. The appointment of *ASSP Focal Points* is an important step in the right direction. However, for the focal points to be able to function effectively and drive ASSP in the field, they need support and backstopping, and (most likely) additional training beyond the 5-days ToT. The focal points should be fully involved from the onset of the annual work planning process (which from next year is recommended to start from the field level, and be preceded by an annual review in the form of an internal evaluation workshop with extension agents and PMT).

23. Other measures to increase the likelihood of effective targeting would be: conducting *Training Needs Assessments (TNAs)* prior to the design of any capacity development initiatives so that the training content, level, methods and approaches, venue, timing, etc. are appropriately adapted to the target group for the specific capacity development effort. Also, reaching out and effectively *targeting women and youth* requires an active approach that ensures that the planned actions are appropriate and attractive for women and youth, and designed to include them to the largest extent possible. Collaboration is recommended with the gender focal points and the youth officers in MoA HQs and in the Districts/Extension Areas.

24. Another initiative to facilitate engagement of extension staff would be to make basic information about ASSP available to all extension staff. The development of an "*ASSP Facilitators' Overview*" booklet that describes ASSP, brief and concise, but with some explanations with regard to approach is recommended, as it is not realistic (nor intended) that the extension staff read the full ASSP Design Document.

Sub-component 2.2: Agricultural Service Centres.

25. There has been some progress in the ASC sub-component for the pilot centres. In Parakarungu, a storage structure has been identified for conversion to an ASC. The local farmers' committee has usage rights to the land and the District Agricultural Coordinator is currently in discussions with the committee to convert the site. In Tonota, the allocated plot has been cleared and quotations are now being collected for fencing the area. For Jwaneng, land has been secured and quotations have been selected for bush clearing and fencing.

26. Interest among agro-chemical dealers to sell product through the ASCs appears high. The PMT organized two roundtable discussions with significant participation from private operators in Gaborone in early April and also during the current mission which were attended by Seed Co and AgriChem. Given the volume of fertilizers, seeds and herbicides subsidized by ISPAAD (approximately USD 25 million/year) and the existence of a voucher scheme where subsidized inputs can be redeemed by registered input suppliers, there is a very attractive business opportunity which could increase the proximity of supply sources to farmers while expanding the input distribution network.

27. There are several key outstanding questions which require responses, a small sample of which include: What is the potential market for tractor spare parts, lubricants, animal feeds and veterinary products in each of the 15 ASCs? What is the potential market for tractor repair services? What are viable supply chain options? (sales representatives of input suppliers stationed at the ASCs, or products provided on a consignment basis by national input suppliers to either the ASC management committee or a local business person); On what basis would interested suppliers be selected? Would retail space be rented to selected vendors and if so, what would derived income be used for? What obligations would suppliers have in terms of training farmers in the correct selection and use of inputs? What would be the composition and duties of the ASC Management Committee? How will inputs from private sector operators be included in the design of the 15 ASC? What role would the MoA play in the management and which (if any) ministry personnel would be stationed at the centre? A services contract should be tendered to an experienced agricultural consulting firm to help the ASSP gain greater clarity on these issues.

Sub-Component 2.3: Institutional Strengthening.

28. The project's institutional strategy for the 2012-2013 AWPB is to work through, complement and strengthen the main actors in the rainfed and irrigation sectors, including government agencies, parastatals, NGOs, traditional kgotla leadership, VDCs, farmers' committees and associations, youth groups, private sector and other civil society partners. Dialogue with private sector actors to engage in the provision of services to farmers and management of the ASCs has started. A workshop was conducted in Tonota with focus on the ASCs and the involvement of the private sector. Likewise there has been a dialogue with PPP experts from MFDP to learn about the rules and regulations and possible modalities around PPPs. ASSP staff regularly takes part in ISPAAD meetings in order to be able to follow and influence the programme.

29. Following the project's strategy to collaborate with main actors that could strengthen ASSP initiatives, it is recommended that a concerted effort be made to engage MoA's Dep. of Agribusiness Promotion in ASSP's efforts to promote 'farming as a business' and develop agribusiness skills among extension staff and farmers. The Dep. of Agribusiness Promotion has at several occasions indicated that they are capable and willing and have the resources to assist ASSP in this. They have staff at District and often also at Sub-District levels; their field staff have an extension background, with additional training in agribusiness development, so they appreciate the farmers' considerations with regard to venturing into agribusiness development. Involvement of the Youth Officers and gender focal points in MoA headquarters and the districts extension areas is of crucial importance for effective targeting of these groups.

30. **Strengthening M&E Capacity in the MOA.** During 2005-07 an FAO technical cooperation project prepared the ground in the MOA for the establishment of an integrated M&E/MIS System, and the ASSP design includes funds to support the implementation of such a system. However, there is a need to consider technological developments, institutional changes and the experience gained with national M&E/MIS systems in the agricultural sector during the five years since this proposal was prepared. There is also a new initiative to prepare a proposal for an Information Management System (IMS) in the MOA, a concept similar to the M&E/MIS system but with ambitions to more broadly integrate existing systems such as the livestock identification trace-back system (LITS) with an M&E/MIS system for projects and programmes in the sector. Financial and technical constraints have negatively affected progress on the IMS. It is therefore recommended to use ASSP resources to first identify and visit a country in the region where a similar system has been developed and is operating successfully, and in dialogue with FAO, to recruit a short-term specialist who can assist with developing a new proposal or updating the existing proposal in line with current needs and priorities

D. Project implementation progress and M&E

Project Management

31. Project management both within the PMT and among MoA senior management needs to be greatly strengthened if the project is to achieve its objectives. At the PMT level, there needs to be a

closer monitoring of implementation progress against deadlines and milestones established in the AWPB, which should be used as the principal management tool to track annual progress against objectives. Greater quality control regarding annual work plan and budget submissions is required. Although there was significant improvement in the second AWPB, there continued to be arithmetic errors which should have been picked up by project management prior to submission to the project steering committee and IFAD for approval and non-objection. This resulted in delays in the conferral of IFAD's Non-Objection.

32. Greater pro-activity is necessary to resolve implementation roadblocks. The level of consultations and joint strategic planning with partners such as CEDA, LEA and the MoA Department of Agricultural Business Promotions needs to be much more substantive. To the mission's knowledge, there are no substantive documents or agreements with key partners outlining possible collaboration in areas such as training. This is particularly worrisome given that the project is one quarter into its life span. There is also no overarching plan covering the five year implementation period to achieve project goals. For instance, the project is tasked with constructing 15 ASCs yet there is no forward planning to determine how many ASCs will be built in each of the coming years or how many people will be trained on a per year basis.

33. At MoA management level, there needs to be a much greater involvement in the oversight and monitoring of project activities. At the project start-up workshop in April 2012, with the exception of the opening speech by the Assistant Minister, MoA management was absent, despite strong management-level representation from virtually all other members of the PSC. If the ASSP is to reach its objectives, strong interest, involvement and support by MoA management is essential.

34. Discussions were held between the JIST and the PMT regarding the finalization of the Project Implementation Manual (PIM). It was agreed that IFAD would assist the PMT to finalize the document during the third quarter of the calendar year.

35. **Coherence between the AWPB and Implementation:** The 17% level of budget execution against the 2012-2013 AWPB speaks to the low level of coherence between planning and execution and this figure actually overestimates the level of expenditures verses programme of work. When one subtracts the GoB contribution for salaries (which would have been paid whether the ASSP existed or not), the actual level of budget execution is 2% of programmed activities.

36. **Staffing Issues:** One of the reasons for the very slow start-up is the competing demands on several staff members, in particular, the Irrigation Officer, the Procurement Officer and the Financial Manager. Start-up for the Palapye Wastewater Irrigation Scheme is a heavy load, given that it involves supervision of design and construction of the irrigation works and the creation of a Water Users' Association. The irrigation officer also has responsibility for piloting the agricultural mechanization and the agricultural service centre sub-components. This represents over one half of the ASSP budget. This workload is on top of his other responsibilities (the 450 hectare Lotsane Irrigation Scheme and co-responsibility for the 70 ha Dikabeya Irrigation scheme.) This is clearly an impossible task. Regarding the Procurement Officer, he has responsibility for all DCP procurement including ISPAAD which is in excess of USD 30 million per annum, and this, in addition to his ASSP related duties. The ASSP Financial Controller is frequently unavailable due to competing demands from other divisions within the MoA. Under these circumstances, the project will not be able to achieve its objectives.

37. **Baseline survey.** In October 2012, five local firms responded to an invitation for expressions of interest to conduct the ASPP "Result Impact Management System (RIMS) baseline survey". One out of three technical proposals that were subsequently submitted was considered inadequate by the MOA. The mission reviewed the other two proposals, neither of which presents a clear approach or shows a clear understanding of the requirements. These proposals are not considered sufficiently responsive to the needs of ASSP. In both cases the financial proposal exceeds USD 500,000 which is more than 10 times the typical cost of these types of surveys.

38. While the tender documents are of good quality with clear evaluation criteria, the one-page TOR does not provide enough guidance. Moreover, the TOR is for a 'narrow' survey which would

collect data only on IFAD RIMS impact indicators, but would not capture critical information related to the project development objective and outcomes, such as technology adoption and change in productivity. It would therefore be of limited use to the GoB. It has been agreed to re-tender with revised and expanded TOR that address the need to collect data on RIMS impact indicators as well as project outcome indicators. Draft TOR for an expanded baseline survey will be included in the supervision report. It is recommended to invite proposals after prequalifying potential service providers in the region. Oversight of the survey work, to ensure that the required results are delivered, will be the responsibility of a Surveys/Studies Reference Committee (SRC) with representatives from selected line Ministries and MOA Departments.

Monitoring and Evaluation (M&E) System.

39. ASSP does not yet have an operational M&E system: the principal monitoring tool until now has been basic tabulated performance data added to activities in the AWPB. This is important, but much more is needed. The outline of an M&E system for the project has been discussed and agreed, which will be elaborated in the supervision report. It will consist of: (i) a template to add status information to planned activities in the AWPB; (ii) a modified and expanded set of output monitoring indicators with templates for data collection by project implementers; (iii) a physical progress summary table consistent with the format used in IFAD supervision reports; (iv) the baseline survey and a second quantitative survey at project completion; and (v) qualitative analysis, including assessment of the effectiveness of certain interventions such as training, specific studies on innovative project interventions and results (for example the Palapye Pilot Irrigation Scheme), and case studies to explain what is behind the numbers. A relatively simple, spread sheet-based system is recommended for ASSP rather than developing a database.

40. Monitoring will be integrated with implementation and should require minimal separate efforts: project implementers will record monitoring data which will be compiled by designated M&E focal points under the Department of Crop Production in each district and the M&E Officer in the PMT. There will be no survey at mid-term, given the short duration of the project and delays during the first year. Monitoring and evaluation data will be disaggregated by district, by sex, and for youth (18-35 years). Short-term technical assistance may be needed to make the system operational and to provide on-the-job training to the M&E Officer, other PMT members, district focal points and field staff (ADs).

41. **Knowledge Management (KM).** The 2013/14 AWPB includes procurement of an international consultant to develop a KM strategy and system. Learning from the experience with Conservation Agriculture (CA) in other countries, and documenting and sharing lessons from ASSP innovations (private sector involvement in service delivery including through ASCs; adapting CA to local conditions; Palapye Pilot Irrigation Scheme) should be central elements of this strategy, which should be practical and linked to on-going GoB initiatives (MOA communication strategy, e-Government). The M&E Officer will prepare draft TOR after reviewing similar strategies previously prepared for other IFAD projects in the region, discuss with the Department of Research, Statistics and Policy Development and the Department of Corporate Services, and seek feedback from IFAD/IFADAFRICA.

E. Fiduciary aspects

Financial management

42. **Systems and Internal Controls:** The project financial management systems and procedures are in place. They are in form of a framework that includes the financial planning (through Annual Work Planning and Budgeting process (AWPBs), financial data capturing and accounting system, financial cash flow management, monitoring and reporting, and procurement and auditing. These require refinement into clear result oriented processes. The installation of ORACLE accounting software within the ASSP financial management system is urgently required. Installation should include the appropriate chart of accounts to facilitate the financial accounting and reporting by activities, components and expenditure categories, as well as reporting on actual expenditure on

implemented AWPB activities. Other required additions should include templates for financial statements for physical and financial progress reports as well as financial statements for Audit. The other procedures to be defined and developed are the reporting templates for reporting the expenditures incurred in the project districts against the approved AWPB provisions. The PMT currently has no capacity for carrying out these enhancements and revisions and it was agreed that the MFDP should provide technical assistance to ASSP to undertake the tasks by 30 September 2013.

43. The financial management Capacity, performance and financial reporting: The financial management capacity for the project is inadequate and the performance in terms of access of Loan and Grant funds has not been effective and efficient. The financial management functions are carried out by the Financial Controller of the Ministry of Agriculture assisted by an intern and the financial controller is not fully dedicated to the ASSP. The Financial Controller is supposed to be facilitated by the Planning office for the access of funds from the MFDP. These arrangements have not been made to work diligently and in a timely manner for the IFAD loan and Grant Funds.

44. The project requires a qualified two person team which is fully dedicated to the project's financial management with no other responsibilities. The assistance from the Planning office for the facilitation of the access of funds requires to be made efficient and effective. In addition also, each of the project's districts will have a specific focal qualified person formally defined and sensitized on the requirements of the accounting and reporting Statements of expenditure. The Project Manager and the Director of Crop Production Department, require intensifying their oversight role in resolving the current funds flow problems and procurement issues with timely, and result oriented directions so as to remove the negative effect on project implementation.

45. Review of the IFAD Loan and Grant Designated Accounts, Funds Flow and Management; The two designated accounts, for Loan and Grant Funds have been opened in the Bank of Botswana. On 9 January 2013, the Grant Fund account was credited with the proceeds of Withdrawal Application (WA) 1 and 2 made up of USD 22,500 and USD 193,000 respectively. Similarly, the Loan Fund account has been credited with the proceeds of WA2 amounting to USD 393,000. Out of the Grant Fund inflow, USD 20,284 has been spent on the Start-up workshop and service providers for the RIMS workshop. The USD balances of the Grant and Loan Funds accounts have been converted into Pula and transferred to deposit designated ledger accounts in the Ministry Finance ledger accounts, numbers 67615 and 65218 respectively. The BWP proceeds conversion from the above USD proceeds have been confirmed with the statements from the MFDP except for the USD 22,500.

46. The remaining key task is the installation of the cost centres, through which the project activities will access funds from these accounts. This important process has been unduly delayed leading to lack of utilization of the IFAD Grant and Loan Funds. It was agreed that the receipt of the proceeds of USD 22,500 will be confirmed, and the process of installing the ASSP cost centres will be done as a matter of urgency. Once utilization of Grant and Loan funds starts to be effected, adjustments to the deposit designated accounts will be adjusted simultaneously, and their monthly statements submitted to ASSP regularly, at the end of each month.

IFAD Loan and Grant Disbursement

47. IFAD Grant Disbursement: The Disbursement to date has been limited to the Special account Allocation amounting to USD 215,500 or SDR 139,759. However, as of the date of this mission, the expenditure incurred is BWP 187,563 or USD 25,000 equivalent, or approximately SDR 16,000. This represents 2% of projected Loan Utilization. This amount includes the cost of the start-up workshop, and other training and the share of the cost of one double cab pickup. The expenditure to date is less than 30% minimum for WA claim for replenishment. In order to ensure timely submission of the WA, it was agreed that the requisite Statements of Expenditure (SoEs) should be prepared to await the achievement of the 30% threshold.

48. IFAD Loan Disbursement: The Disbursement to date has been limited to the part of the Special account Allocation amounting to USD 393,000 or SDR 254,950. The Loan Agreement authorizes an allocation of USD 600,000, and the project is entitled to the top-up balance of

USD 207,000. The mission recommends submission of a WA for this top-up, with the aim of maximizing cash flow for supporting the expected project activities during implementation take-off. As for implementation, the project to-date has incurred expenditure amounting to BWP 160,816 or USD 20,000 equivalent, or approximately SDR 14,000 which represents 1% of the projected Loan Utilization. This includes the cost of training and the share of the cost of one double cab pickup. The expenditure to date is less than 30% minimum for WA claim for replenishment. In order to ensure timely submission of the WA, it was agreed that the requisite SoEs should be prepared to await the achievement of the 30% threshold.

49. **GoB counterpart contribution and Expenditure:** All the expenditure incurred to date for the Project activities has been sourced through the GoB. For 2012/13, the contribution through Expenditure was BWP 1.6 million or USD 208,000. This amount includes salaries of the PMT staff amounting to BWP 1.5 million. For the 2013/14 financial year to date, the contribution is BWP 341,717 or USD 42,715 equivalents. The total contribution to date is USD 62,070. The mission commends the GoB for the strong commitment to the Project demonstrated by this contribution.

50. **Procurement process and management:** The procurement plan is consistent with the 2013/14 AWPB and includes all the items not procured in the 2012/13 financial year. The management of the procurement has not been carried out efficiently, effectively or in a timely manner. The bidding documents for Goods and Civil works as well as TORs for services are not pro-actively prepared on time in accordance with the Procurement Plan. The undue delays are contributed partly by a reported inadequate capacity in the Procurement unit of the Department of Crop Production. The focal procurement officer for ASSP is reported to be engaged for other major procurements within the MoA. The procurement delays particularly for Technical assistance and services are also contributed by failure to prepare or make early arrangements of the required TORs.

51. **Progress of the Procurement Plan implementation:** As of the date of the mission, two months into the current financial year 2013/14, only two items have been procured at a cost of BWP 534,000, or USD 71,200 equivalent, out of annual budget of BWP 22.9 million or USD 3.1 million equivalents. The procurement process for the bulk of the balance is yet to start despite some of them having been planned for procurement in 2012/13 financial year. It is recommended that the focal Procurement officer will be with immediate effect be detached from other procurement responsibilities and be fully dedicated to the procurement of ASSP functions. Further, appropriate technical assistance will be facilitated that will ensure that the TORs for technical studies and designs for civil works for ASCs and Irrigation schemes are provided as planned.

52. **Review of the Procurement process of the Motor vehicle and the ToT training** was carried out, and the mission was satisfied that the process followed the GoB procurement procedures as laid down.

Loan Covenants

53. **Compliance with Loan Covenants:** Apart from slow take off of the programme activities the mission has not noted any contravention of the Loan covenants.

Audit

54. **Statutory Audit:** The Loan Financing Agreement require that the audit is carried out and submitted to GoB and IFAD six months after the end of the financial year falling under audit. The Financial year 2012/2013 will be the first year of audit. The mission has assisted the PMT to prepare Draft Financial Statements, Accounts and Reports for Audit that is consistent with International Public Sector Accounts Standards (IPSAS). It was agreed that draft will be presented to the Auditor General by 15 June 2013, to enable his office to carry out the audit. Also the draft will be submitted to IFAD for their comments as required by the Loan and Grant Financing Agreement. It was further agreed that the PMT will remain engaged with the Office of the Auditor General, so as to ensure clean audited accounts are submitted to IFAD and GoB on or before 30 September 2013 as required by the Loan and Grant Financing Agreement.

55. **Internal Audit:** The mission notes that the internal audit systems have been mainstreamed as part of the internal and oversight controls of the project financial transactions. It was agreed that the internal audit reports will be published at the end of each quarter, which will present the work carried out, findings and agreed actions.

F. Sustainability

56. The development objective of ASSP is to achieve a viable and sustainable smallholder agricultural sector based on '*farming as a business*', and not reliant on subsidies or welfare measures. Therefore, ensuring sustainability of project interventions should be of main concern from the onset of the project. In order to increase the likelihood of achieving sustainable impact, an overarching plan for project implementation including in-built sustainability measures should be developed as soon as possible, as part of the 'road map', or overall plan for project implementation.

57. Such a strategy would ensure that planning of project interventions are *guided by sustainability principles*, like gradually moving away from subsidies (in order to create a self-sustaining agricultural sector), increasing productivity (since at least reasonable productivity is a prerequisite for profitable 'farming as a business'), developing capacities among the target group in agribusiness development, and among the service providers in providing efficient services to the farming community, without support from the project.

G. Conclusion

58. The ASSP has gotten off to a very slow start with little progress made during the first 15 months of implementation, and this despite significant efforts on the part of many PMT members. This is particularly worrisome given the short, five year lifespan of the ASSP. Unless there is a substantial increase in pace, the project is likely to achieve few (if any) of its objectives. There needs to be a reinvigoration of project management, greater technical assistance available to the ASSP, particularly in the areas of agricultural mechanization, irrigation development, procurement and financial management and greater implication, support and oversight of MoA senior management if the ASSP is to have an impact on improved smallholder revenues and generate the results desired by the GoB, Botswana farmers and other stakeholders.

Appendix 1: Project Status Report

Basic Facts

Country	Botswana			Project ID	1546	Loan/DSF Grant No.	818
Project	Agricultural Services Support Project					Top-up Loan/DSF Grant	
Date of Update	04-Jun-2013						
Supervising Inst.	IFAD/IFAD						
No. of Supervisions	1	No. of Implementation Support/Follow-up missions	1				
Last Supervision	26-Oct-2012	Last Implementation Support/Follow-up mission	08-Feb-2013				

USD million Disb. rate %						
Approval	05-Dec-2010			Total financing	25.02	
Agreement	21-Feb-2012	Effectiveness lag	14.8	IFAD Total	5.65	
Entry into force	21-Feb-2012	PAR value	-----	IFAD loan	4.04	10
First disbursement				DSF grant		
MTR		Last amendment		IFAD grant	1.61	14
Original completion	31-Mar-2017	Last audit		Domestic Total	19.37	
Current completion	31-Mar-2017			Beneficiaries	0.29	0
Original closing	30-Sep-2017			Government (National)	19.08	1
Current closing	30-Sep-2017			External Cofinancing Total		
No. of extensions	0					

Project Performance Ratings

B.1 Fiduciary Aspects	Last	Current	B.2 Project implementation progress	Last	Current
1. Quality of financial management	3	3	1. Quality of project management	2	2
2. Acceptable disbursement rate	3	3	2. Performance of M&E	4	3
3. Counterpart funds	4	5	3. Coherence between AWPB & implementation	4	3
4. Compliance with financing covenants	4	5	4. Gender focus	4	4
5. Compliance with procurement	4	3	5. Poverty focus	4	4
6. Quality and timeliness of audits	4	4	6. Effectiveness of targeting approach	4	4
			7. Innovation and learning	4	4
			8. Climate and environment focus		
B.3 Outputs and outcomes	Last	Current	B.4 Sustainability	Last	Current
1. Sustainable Agricultural Production	4	3	1. Institution building (organizations, etc.)	4	4
2. Enabling Environment for Smallholder Agriculture	4	3	2. Empowerment	4	4
			3. Quality of beneficiary participation	4	4
			4. Responsiveness of service providers	4	4
			5. Exit strategy (readiness and quality)		
			6. Potential for scaling up and replication	4	4

B.5 Justification of ratings

Certain ratings in B4 eg. empowerment, service provision, beneficiary participation were given a “4” project as the project has not yet involved beneficiaries or service providers thus there is no basis on which to rate these categories. Weak financial and project management capacity is a significant obstacle to effective planning and implementation. Project activities are significantly behind schedule as per the 2012-13 AWPB, particularly those related to training. Slow procurement of goods and services retards progress. Substantive relationships with key implementing partners, particularly for training, have not yet been established. Some progress registered in Sub-Component 1.3 (Waste Water Irrigation) but progress has been compromised by the existence of competing land claims on the 29 ha plot allocated to Min. Agriculture in 2009. Also some activity in 2.2 (Agricultural Service Centres), with preliminary preparation and tendering at three of the future 15 sites. Weak project management is a large constraint on progress to date.

Overall Assessment and Risk Profile

	Last	Current
C.1 Physical/financial assets	4	3
C.2 Food security	4	3
C.3 Quality of natural asset improvement and climate resilience		
C.4 Overall implementation progress (Sections B1 and B2)	3	3

Rationale for implementation progress rating

The start-up continues to be extremely slow and this is particularly worrisome given the relatively short life span of the ASSP (60 months). The quality of financial management has been weak and this is a reflection of the part time status of the financial manager and also a lack of experience in the financial administration of donor-supported projects. IFAD has repeatedly asked for more support from the MoA for financial management and procurement but this has, to date, had no effect. Procurement is slow, also due to the part-time status of the procurement officer. More forward planning for procurement will expedite the acquisition of goods and services. Project management has been weak and insufficient attention has been paid to the project by senior management within the ministry. M&E is beginning to take form. The project has struggled with the AWPB process but the 2nd AWPB was done much quicker than the 2012-13 document but nevertheless there are still fundamental problems with correct budgetization. The team is still struggling with targeting issues but understands the need to focus on smallholders, particularly women and youth.

C.5 Likelihood of achieving the development objectives (section B3 and B4)	3	3
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Rationale for development objectives rating

Given the present pace of implementation, the chance of the project meeting its development objectives is slim to nil. There are, however, positive signs of a substantive engagement on the part of the MoA senior management which is indispensable. Improved project leadership and management is critical to moving the project forward.

C.6 Risks Short description of major risks for each section and their impact on achievement of development objectives and sustainability

Fiduciary aspects	The GoB has the best transparent Public Financial management Governance in Southern Africa using the yard stick of TI CPI index. However, the lack full time dedication and financial accounting experience of the financial management team indicates a critical professional capacity gap. This is likely to lead to poor accounting and reporting. The MFDP support is inadequate, and so is the oversight of the MOA senior management. These issues pose real risks to the ASSP financial Management.
Project implementation progress	The project is understaffed with most of the team members serving on a half-time basis. Also, the project management is weak and shows inadequate leadership. Lack of full buy-in by field-based extension officers and partner training institutions is a risk to progress. Slow procurement processes could have a very negative effect on the establishment of an irrigated scheme and the construction of 15 agricultural service centres. In addition, lack of a secure lease agreement for the 29 ha plot due to pre-existing competing claims (which were not picked up by the local land board) would, in effect, render impossible IFAD's grant support for this activity given the short time frame of the project.
Outputs and outcomes	After 15 months of implementation, the project is still very much in start-up mode and, at the present rate, no real impacts can be reasonably expected.
Sustainability	See above

Proposed Follow-up

Issue / Problem	Recommended Action	Timing	Status
Assistance in AWPB preparation	Financial management expert and Gabs-based consultant to provide support.	Mid-January	Done
Uncertain way forward for the ASCs	Develop ToRs for a consultancy to define operational modalities,	30 August 2013	On-going
Lack of medium term planning	Develop life of project timeline for major deliverables	30 July 2013	On-going
Insufficient guidance and codification of financial mgmt. procedures	Hire consultant to improve financial mgmt. manual.	30 Sept 2013	October 2013
Poor mechanization services	Organize training in operation and maintenance for tractor operators	ASAP	
Poor performance of govt. owned tractors	Develop plan to privatize 60 GoB tractors	30 Sept.	

		2013		
Slow development of training plan	Develop a training plan for farmers and extension agents	30 Sept 2013		
Resolve Palapye land allocation issue	Permanent Secretary to take the lead in discussions with the land board	Immediate	Done	
Only Draft PIM	Revise draft with Project Management Team	October 2013		

Additional observations

The Project Steering Committee was fully supportive of the findings of the mission and is urging the MoA to take a much more pro-active stance. The ministry has named the Irrigation Officer on a full time basis to ASSP activities which is a big advantage to the project. A new Deputy Director of Crop production is taking an active interest in the project. The coming months will provide a clearer view of the way forward for the GoB and for IFAD.

Appendix 2: Status Update of AWPB 2012-2013 as of May 2013

Activity Vote Code	Outputs / Planned Activities	Where (Area of Activities)	Target	Unit	When				Responsible Officer(s)	Status	Comments/Questions
					Q1	Q2	Q3	Q4			
1.1	Agricultural Mechanization										
1.1.1	Stakeholder Consultation and analysis										
1.1.1.1	Component focus (workshop for mechanization dealers)	Chobe, Central & Southern	3	Workshop		X			IS	Lumped together as common w'shops on ASSP; no specific w'shops have taken place for analysis of mechanization	W'shop (overall for ASSP) in Tonota (focus = mechanization), combined with agroonomy and ASC. For Southern and Chobe, shifted to this June.
1.1.2	Tractor and Implements Census										
	Establish number of existing tractors and implements	Local	1	Survey	X						Desktop study done – according to Annual Report. Information supplied by the districts via a questionnaire.
1.1.3	Situational analysis of Mechanisation sector			Consultancy					M&E	No consultancy yet.	
	Privatisation	National	1			X	X			Nothing done on this.	What was planned for this output? (Part of planned consultancy?)
	Mechanisation strategy									Nothing done on this.	What was planned for this output? (Part of planned consultancy?)
	Legal and Administrative Consultations on Sale of Government Machinery	Chobe, Central & Southern	3			X	X			Nothing done on this.	What was planned for this output? (Part of planned consultancy?)
	Assess Tractor Implement off Season Work Opportunity	National	1			X	X			Nothing done on this.	What was planned for this output? (Part of planned consultancy?)
	Assess animal drawn equipment Requirements	Chobe, Central & Southern	3	Desktop Study	X	X	X		IS	Nothing done on this.	Desk study status?
1.1.4	Training for contractors										
	Strengthen partnership with relevant institutions				X	X	X	X		Only internal discussions w/ Nelson.	Relevant inst. is BCA. Only internal discussions w/ Nelson.
	Facilitate development of training curricula		1	Curriculum		X			IS	Nothing done.	
	Training of private Machinery Operators	Chobe Dist	1	Course				X	IS	Nothing done.	Scheduled for this year 3rd Q
	Training of private Machinery Operators	Central Dis	1	Course				X	IS	Nothing done.	Scheduled for this year
	Training of private Machinery Operators	Southern d	1	Course				X	IS	Nothing done.	Scheduled for this year
	Strengthen partnerships for accreditation								IS	In process.	Mapitsetse met with Botswana Training Authority. He is part of the sub-committee for Ag mechanization training.
1.1.5	Access to Financial Services By Contractors										
	Local Govt. To Develop Model Buss Plans		1	Business Plan	X				IS	Not done.	
1.1.6	Study tours for MoA staff										
	MoA Mechanization Staff tour	Zambia/ Zimbabwe	1	Tour				X	IS	Not done.	
1.2	Improved Rainfed Agricultural Practices										
1.2.1	Stake Holder Consultation & Analysis										
	Component focus(workshop for demonstration farmers)	Chobe, Central & Southern	3	Workshop		X			PM	Partly done, as part of overall ASSP w'shop, in Tonota only.	Lumped together as common w'shops on ASSP; no specific w'shops/consultation taken place for demonstration farmers.
1.2.2	Adaptive Research										
	Establish research farmer and extension linkage committee	PMT	3	Meeting		X	X	X	AO	ToR for Research, Extension & Farmer Linkages Committee done. Committee members identified and MoA management to formally appoint members. First meeting of the Committee by end of June 2013.	ToR received.
	Produce targeted messages on appropriate technologies	PMT	1	Message			X		AO	Literature review on targeted messages (e.g. Conservation Agriculture) on-going. Draft to be circulated for comments (by when?). Product to be ready by 2nd Quarter as reflected in AWPB 2013-2014	
1.2.3	Technical training of ADs and SM Ss										
	Procure International Trainer	Local	1	Trainer			X		PO/AO	Not done	TNA partly done for staff needs. Form sent to the Districts. Needs follow-up. Training plan status? # 1, 2, 3 in AM agreed actions.
	Training of ADs and SM Ss (2 groups)	Local	2	Training		X			AO	Not done	
1.2.4	Farmer Field School for Conservation Agriculture										
	Regional tour to observe operations on farmer field schools	Regional	1	Tour				X	PM/AO	Not done.	Postponed till 2013-2014 w'plan.
1.3	Pilot Scheme for Small holder Waste water Irrigation										A number of activities not mentioned in the AWPB 2012-2013 for the irrigation scheme have taken place, or are on-going, like procedures for beneficiary selection, collaboration with Div. of Cooperatives, WUAs, etc. (#13, 14 and 15 in AM Agreed Actions).
1.3.1	Stakeholder Consultation and analysis										
	Conduct consultative meetings	Palapye	1	Kgotla meetings	X				IS	Partially done	A clear overview of selection criteria and development steps in the irrigation component is needed to feed the consultation.
	Component focus workshop with potential farmers (workshop for irrigation farmers)	Palapye	1	Workshop				X	IS	Not done	The set-up of the component requires elaboration to prepare for the external w'shop.
	Feasibility study on suitability of Waste water irrigation scheme and Assessment of performance of Dikabea Irrigation Scheme	Palapye &	1	Study			X	X	M&E	ToR for design and construction on-going	Include Dikabea scheme assessment in ToR.

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Agricultural Services Support Project (ASSP)
Supervision Report – 2nd Joint Implementation Support Mission: 20-31 May 2013
Appendix 2: Status Update of AWPB 2012-2013 as of May 2013

Activity Vote Code	Outputs / Planned Activities	Where (Area of Activities)	Target	Unit	When				Responsible Officer(s)	Status	Comments/Questions
					Q1	Q2	Q3	Q4			
1.3.2	Development of wastewater irrigation scheme										
	Awareness Campaign on use of waste water	Palapye		Campaign		X	X	X		Not done	Include ToR for Service Provider Training and Communication.
	Design	Palapye	1	Design			X		IS	ToR partly done for Design Consultant. Draft tender document has been circulated in MoA for relevant officers to provide input.	Reviewed during mission; requires minor changes before publication.
	EIA	Palapye	1	EIA		X			IS	EIA forms have been sent to DEA for assessment.	
	Bush clearing	Palapye		hac			X	X	IS	On-going. 30-60% of land has been cleared and destumped	Status and handling of obstacles to the bush clearing? Original bulldozer owned by Animal Husbandry was relocated due to disease outbreak. Current bulldozer of the Department for Water Resources suffers from regular breakdowns and slow repair procedures. It is laying idle for 5 weeks due to the need to replace a hose.
	Perimeter fencing	Palapye		hac				X	IS	partially done. Tender awarded for procurement of materials.	Sent back for retendering due to only one director on the winning bid. Recommendation made for award by Dept. tender board but rejected by the MTC.
1.3.3	Compliance with established wastewater quality standards										
	Compliance with established wastewater quality standards				X	X	X	X		ToR development on-going for private company to carry out independent water quality analysis.	assigned to carry out the daily discharge measurement of the outflow. Status of this? Does this measurement include quality controls of water quality? -Beside the irrigation officer's controls, also independent
Component 2 Enabling Environment for Small Holder Agriculture											
Activity Code	Outputs / Planned Activities	Where (Area of Activities)	Target	Unit	When				Responsible Officer(s)	Status	Comments/Questions
					Q1	Q2	Q3	Q4			
2.1	Improved Delivery of Extension Services										
2.1.1	Conduct needs assessment	All Districts (I)	1	study			X		DAC	Needs assessment sent out. Only 4 districts responded.	Same questionnaire for ADs and farmers. Sub- district ASSP focal points will follow up. Conclusions due end of June.
2.1.2	Training & Study Tours										
	Training course for AD's on extension methodology approach (2 groups)	All Districts (I)	60	No.				X	AO	Not done	
	Training course for SMS's on extension methodology approach	All Districts (I)	30	No.				X	AO	Not done.	
2.1.3	Transport & Communication for ADs										
	Conduct inventory of refurbishable vehicles									Done.	Vehicles are at MoA
	Procurement of Vehicles	Local	3	No.		X	X		PM/PO	Status?	Status for the other two vehicles?
	Procurement of Desk Top Computers	Local	10	No.			X		PM/PO	Tender process completed.	Since when? When will award be conferred?
	Procurement of Laptops	Local	5	No.			X		PM/PO	idem	idem Was this one procurement?
2.1.4	Recurrent Costs										
	Fuel and Maintenance of Vehicles	Chobe, Central	3	LS			X	X	DAC		Status?
	Communication (airtime for phone + internet modems)	Chobe, Central	3	LS			X	X	DAC		Status?
	Procurement of Stationary	Chobe, Central	3	LS		X	X	X	DAC		Status?
2.2	Agricultural Service Centers										
2.2.1	Consultations around the ASC concept										
	Consultations around focus ASC	Chobe, Central	3	Meetings		X			AO	Done. Parakarungu: Will repurpose existing structure for ASC. But currently in discussions with Farmers' Committee who owns the land. To be resolved by end of May. Tonota: plot has been cleared and now collecting quotations for fencing. Jwaneng: land has been secured. Have collected quotations for bush clearing. Quotations for fencing material have been secured.	Which agricultural service providers attended the Gabs meetings? Where there minutes of the meetings? What were the outcomes? Was Para site approved by DEBS? What is the status of on-going negotiations? Status of Jwaneng fencing procurement?
	ASC focus workshop		1					1		Done as part of a package	What is meant by "tender processing constraints"?
	Attend ISPAAD consultative Meetings	HQs	4	Meeting	X	X	X	X	PM.	On-going.	What is the outcome of this? Discussions re. collaboration between ISPAAD and ASSP...?
	Facilitate formation of ASC Management Committee	All Districts	8	Meeting	X	X	X	X	AO/DAC	?	Status?
	Facilitate Formation of Cluster Mgt. Committee	All Districts	8	Meeting	X	X	X	X	AO/DAC	?	Status?
2.3	Institutional Strengthening										
2.3.1	Comprehensive review of ISPAAD (Consultant national & international)										
	Procure International Consultancy to Review ISPAAD	National	1	Consultancy		X			PM/M&E/PO	Not done.	In light of the 2012 ISPAAD review is still necessary? Or do you consider a review/facilitated dialogue to enhance collaboration between ISPAAD and ASSP?

Agricultural Services Support Project (ASSP)
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Appendix 2: Status Update of AWPB 2012-2013 as of May 2013

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Botswana
Agricultural Services Support Project (ASSP)
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Appendix 2: Status Update of AWPB 2012-2013 as of May 2013

Activity Vote Code	Outputs / Planned Activities	Where (Area of Activities)	Target	Unit	When				Responsible Officer(s)	Status	Comments/Questions
					Q1	Q2	Q3	Q4			
3.4	Vehicles & Equipment										Procurement of vehicles and equipment in progress. Status?
	Vehicles	PMT	1	NO			X				Done.
	Desktop computer	PMT	1	NO			X			PM/PO	
	Laptop computers	PMT	7	NO			X			PM/PO	
	Printers (Black and white)	PMT	2	NO			X			PM/PO	
	Colour Printer	PMT	1	NO			X			PM/PO	
	Internet Modem	PMT	3	NO			X			PM/PO	
	Set Office Stationary	PMT		LS			X	X	X	PM/PO	
	Office Furniture	PMT	2	Set			X			PM/PO	
3.5	Travel Expenses										
	PMT officers Travel	PMT	7	PM		X	X	X	X	PM/FC	
3.6	Surveys & Studies										
	Procure Consultant for Baseline survey	Local/inter	1	Survey				X		M&E	Too expensive. Must re-procure.
	Recruitment of enumerators	Local	30	Survey				X		M&E	
3.7	Workshops and Seminars										
	Start up workshop	HQ	1	Workshop	X					PMT	Done.
	Procurement of Facilitator/consultant	PMT	1	Workshop					X	PMT	Done.
	Daily Subsistence Allowances (Backstop pling)					X				PMT	
	Knowledge Management workshop	Local	30	No				X		PM	Not done.
	Procure Consultant/facilitator for KM workshop	Local	30	No				X		PM	Not done.
	Regional Implementation Workshop	ESA Region	3	NO				X		PM	Done. Project Manager and M&E/KM&L officer participated.
	IFAD Thematic workshops (Land Tenure, learning routes, Conservation Agriculture)	ESA Region	3	Workshop			X	X	X	PM	Project Manager participated in Land Tenure W'shop in Nairobi. M&E/KM&L officer participated in KM&L w'shop in Nairobi. (June 2012).
	Gender training	Local	1	No					X	PM	Not done
	Procure consultant	Local	1	No					X	PM	Not done
	Training course on Project Management	Local	2	No			X			PM	Not done
	Training course on Knowledge management	Local/inter	2	No				X	X	M&E	Not done
3.8	Planning and Budget Workshops										
	Community PRA	All District	30	No				X		PRA Team/Leader	Not done
	Sub-District Planning Workshops	All Sub-Dist	27	No					X	Sub District Head	Not done
	District Planning Workshops	All District	10	No					X	DACors	Not done
	National Planning Workshop	PMT	1	No.					X	PMT/M&E	Not done
3.9	Annual External auditing							X			Not required

Appendix 3: Agreed Actions during the 2nd Joint Implementation Support Mission May 2013 - with Status and Follow-Up of Previous Agreed Actions

Agreed Action (October 2012) with Responsibility and Deadline	Status Update by PMT May 2013 <i>(notes by the mission in italic)</i>	Agreed Action (May 2013) with Responsibility and Deadline
1. Sustainable Agricultural Production		
1.1 Agricultural Mechanisation		
No Agreed Action decided upon under this sub-component during Oct 2012 mission.		24. Organization of training in operation and maintenance for ISPAAD tractor operators. (DPM. a.s.a.p.)
		25. Develop plan with ISPAAD with technical support from the Agricultural Mechanization Division to privatize ISPAAD tractor fleet and decide on lease or sale option. (PM, end of Sep 2013).
1.2 Improved Rainfed Irrigation Practices		
1. Training Needs Assessment (TNA) to assess and prioritize training needs for arable farmers' needs. (Agronomist and Project Manager, November 2012)	Done. A Training Needs Assessment Questionnaire for farmers and staff was sent to all the 10 districts and 4 districts have so far responded. 6 are being followed up. <i>TNA Questionnaire sent out to assess the training needs of the farmers (not the MoA extension staffs' needs).</i>	1A. Follow-up of the TNA regarding farmers' training needs, with explanations about ASSP and its focus on improved rainfed practices and 'farming as a business'. (Agronomist, end of June 2013).
2. Training plan to be developed and submitted to the Head of Farmer Training in MoA HQs for training programme(s) to be developed and space reserved for farmers at the MoA Training Centres during 2013. (Agronomist and Project Manager, November 2012)	Partially done.	2A. Based on the outcome of the TNA, develop a Training Plan for training of farmers, in collaboration with partners in training and capacity development. (Agronomist, end of Sep 2013).
3. Discussions with head of Farmer Training to influence and broaden training to include topics like CA and business development. (Project Manager, mid-December 2012)	Done. 'Conservation Agriculture' and 'Business Development' are now in the Farmer Training Plan.	3A. Depending on the outcome of the TNA and the Farmer Training Plan, further discussions may be needed with the head of Farmer Training.
4. ToR for the "Research, Farmer & Extension Linkages Committee" will be developed to ensure that MoA-driven demonstration initiatives on farmers' fields are appropriate, client-oriented and user responsive. (Agronomist, mid-November 2012)	Done. TORs for the Research, Extension & Farmer Linkages Committee done. Committee members identified; MoA Management to formally appoint members.	4A. Follow-up with the DCP management on formation of the Research Extension Linkage. (Agronomist, 1st week of June 2013).

Agreed Action (October 2012) with Responsibility and Deadline	Status Update by PMT May 2013 <i>(notes by the mission in italic)</i>	Agreed Action (May 2013) with Responsibility and Deadline
5. Develop targeted message on conservation agriculture. (Agronomist and Communications Officer, by end of March 2013)	On-going. Literature review on targeted messages (e.g. Conservation Agriculture) on-going. The draft is to be circulated for comments.	5A. Development of targeted messages on-going. (Agronomist, CA message to be ready before the start of the ploughing season 2013).
6. Assessment of the efficiency of the "District Demonstration Committees" established in 2011. (Agronomist, by end of March 2013)	Done. Assessment on the efficiency of District Technical Committee was done in November 2012; and only two of the ten District Technical Committees (Tonota and Hukuntsi) was found to be active. District Crop Production Officers have been implored to resuscitate the other 8 in their respective areas during the ASSP TOT workshop that was held on the 18/04/2013.	OK.
		26. IFAD to facilitate linkages to FFS initiatives on the region, potential for the planned FFS study tour. (IFAD, mid-June 2013).
1.3 Pilot Scheme for Wastewater Irrigation		
7. Discharge measurement during the summer period on a daily basis by MoA irrigation field staff and checked by the IO (October 2012 to March 2013)	Not done. <i>Central District Irrigation Officer has been assigned to carry out the daily discharge measurement of the outflow. Beside the irrigation officer's controls, also independent assessments of water quality is needed. ToR development on-going for private company to carry out independent water quality analysis.</i>	7A. Discharge measurement by MoA irrigation Officer for Serowe-Palapye and checked by the IO (July 2013).
8. Reassess scheme area based on actual data and projections of Crop Water Requirements (IO, with technical support from IFAD and FAO, February 2013)	Not done.	8A. Include previous action 8 (reassessment of scheme area based Crop Water Requirements and water availability) in Design contract (combine with previous action 10). (IO, July 2013).
9. Procure a design software package for drip irrigation systems (PO, November 2012)	Not done.	9A. Procure a design software package for drip irrigation systems, including a 1-week training for two officers. (IO, July 2013)
10. Develop ToR for the Design Consultant including preparation of design alternatives for changing water availability in Palapye and need for reliable water supply. (IO, with technical support from IFAD, end November 2012)	Partially done.	10A. Procure Design and Supervision Consultant. (IO, with IFAD support for ToR dev, June 2013).
11. Develop the ToR for the EIA Consultant (IO, with technical support from IFAD immediately after DEA assessment)	Not done.	11A. Procure EIA Consultant. (IO, with IFAD support for ToR dev, June 2013).

Agreed Action (October 2012) with Responsibility and Deadline	Status Update by PMT May 2013 <i>(notes by the mission in italic)</i>	Agreed Action (May 2013) with Responsibility and Deadline
12. Develop the ToR for water quality analysis of the Palapye WTP effluent (IO, middle of November, in consultation with the WUC and DWMP, with technical support from IFAD)	On-going.	12A. Procure wastewater quality analysis (previous action 12) and combine with risk mitigation (new action). (IO, with IFAD support, Sep 2013).
13. Develop selection criteria and selection procedure in consultation with LEA and financing institutions before launching of the selection process and in close coordination with the IO to ascertain the actual area and plots in the scheme (M&E Officer, December 2012)	Done.	13A. Finalise Selection Criteria. (M&EO, June 2013).
14. Develop ToR for LEA as service provider for business development and enterprise models for the Palapye scheme (M&E officer, January 2013)	On-going	To be included in new Agreed Action (27 below) on procurement of international TA for Scheme Management Models.
15. Draft agreements between MoA-ASSP and the Government Departments (M&E officer and IO, by March 2013)	Done	To be included in new Agreed Action (27 below) on procurement of international TA for Scheme Management Models.
		27. Procurement of international TA for Scheme Management Models (should include previous AA 14 and 15). (IO, with IFAD support, Aug 2013).
		28. Resolve land allocation issue. (PS, immediate).
		29. Procure service provider to draft a training and communications programme. (M&E and IO, Sep 2013).
		30. Strengthen the Palapye team, including: - Regular meetings to coordinate and plan as a team (PMT IO – Palapye – Serowe) - Include MoA youth officer for Central District in Palapye team - Assign MoA Youth Officer with coordinating the training & communication programme - Provide monthly progress updates to PMT. (PMT management and IO, immediate).
2. Enabling Environment for Smallholder Agriculture		
2.1 Improved Delivery of Extension Services		
16. Review of MoA's procurement process for procurement of inputs (like seeds and fertilizers). (Procurement Officer, March 2013)	Not done. <i>The rationale for this review of the procurement procedures was to avoid delays in availability of inputs to the farmers.</i>	

Agreed Action (October 2012) with Responsibility and Deadline	Status Update by PMT May 2013 (notes by the mission in italic)	Agreed Action (May 2013) with Responsibility and Deadline
17. TNA of the training needs (like facilitation skills and extension methodologies) of the extension agents for them to be able to drive ASSP in the districts. (Agronomist and M&E/KM&L officers, by end of November 2012)	Done. <i>TNA Questionnaire sent out to all 10 districts to assess the training needs of the farmers (not the MoA extension staffs' needs); only 4 districts replied.</i>	17A. Conduct a TNA regarding the <u>extension staffs'</u> training needs in order to effectively facilitate ASSP in the field, (including assessment of the need for further training in facilitation skills, agribusiness development, etc). (DPM, Assessment starting with Quarterly Review meetings at Sub-District level. Finalised by end July 2013).
18. Training plan to be developed and submitted to the DCP Training Coordinator To reserve space for extension agents in the MoA Training Centres during 2013. (Agronomist and M&E/KM&L officers, by end of November 2012)	Done. <i>Overall general training plan for MoA has been developed by MoA staff.</i>	18A. Based on the outcome of the TNA, develop a training plan for training of extension staff, in collaboration with partners in training and capacity development. (DPM, early Sep 2013).
19. Assessment of the potential role of agencies like LEA, CBA and others in providing training and assistance in capacity development (Project Manager, March 2013)	Done. A meeting with LEA and CEDA representatives was held to discuss the potential roles of these agencies in ASSP.	19A. Continued discussions and involvement of various agencies to engage them in ASSP is keeps being important.
20. Assessment and prioritization of extension staffing needs. (Project Manager to initiate needs assessment, by 1 st Nov 2012) Request to Ministry of Labour & Home Affairs (Project Manager, by end of March 2013)	On-going.	20A. Based on the ASSP Sub-District AWPB (presently under development, and scheduled for finalisation by end of June, by the Sub-District Focal Points) a needs assessment in terms of staffing needs (including assessment and prioritization of temporary staff needs (in lieu of the initially planned 50 ADs)), transportation and communication needs will be analysed and a request for hiring of temporary extension staff be made. (PM, end of July 2013).
21. Inventory of refurbishable vehicles. (Project Manager, by end of March 2013)	Done.	21A. Refurbishment of the ten refurbishable vehicles. (PM and PO, end of Sep 2013).
		31. Follow-up on implementation structures at sub-district level (Agronomist, end of July 2013)
		32. Procurement of transport and communication means to the ADs. (PM and PO, end of Aug 2013).
2.2 Agricultural Service Centres		

Agreed Action (October 2012) with Responsibility and Deadline	Status Update by PMT May 2013 <i>(notes by the mission in italic)</i>	Agreed Action (May 2013) with Responsibility and Deadline
22. Continued support to on-going consultative process in the Parakarungu, Tonota and Jwaneng ASC areas. (Project Manager, process on-going)	On-going. Component focused workshops are being conducted to facilitate a clearer vision of ASC for respective areas. Separate meetings with service providers have been conducted at Gaborone, Parakarungu and Tonota.	22A. Process continues.
23. ASC Workshop to be conducted in Tonota Important preparatory steps before the w'shop: <ul style="list-style-type: none"> • Inventory of existing services • Separate meetings with women, youth, marginalised groups • Separate meetings with private agro-dealers, tractor owners and other private sector service providers (Project Manager to discuss with the District staff their capacity to be in-charge of the ASC workshop preparations, incl. conducting inventory and separate meetings. Discussions and a decision regarding responsibilities for preparations of workshop, by end of October 2012).	Done. Tonota component focused workshop conducted from 23 rd - 25 th April 2013. Tonota farmers have opted for Management option 1 and have identified a place where they could be served whilst their ASC is being constructed.	23A. Chobe & Jwaneng Workshops are scheduled for June 2013.
		33. Request to be made to senior management to assign to PMT a MoA staff to drive the mechanization sub-component. (PM, a.s.a.p.)
		34. Develop estimated demand for tractor spare parts and service kits in the three priority ASC areas. (PMT, with the requested support from the Agricultural Mechanization Division, 30 Aug 2013).
		35. Continue outreach and marketing activities with spare parts dealers using data from the estimated demand survey. (PMT, with the requested support from the Agricultural Mechanization Division, 30 Oct 2013).
		36. Develop ToRs for a consultancy to develop recommended operational modalities for the ASCs. (PMT, with the requested support from the Agricultural Mechanization Division, 30 Aug 2013).

Agreed Action (October 2012) with Responsibility and Deadline	Status Update by PMT May 2013 <i>(notes by the mission in italic)</i>	Agreed Action (May 2013) with Responsibility and Deadline
		37. Develop timeline for the construction of the 3 pilot ASCs. (PM with support from Dep. of Buildings and Engineering Services, a.s.a.p.).
2.3 Institutional Strengthening		
No Agreed Actions decided upon under this sub-component during Oct 2012 mission.		38. Follow-up with MFDP regarding the PPP rules and regulations, to ensure that the government's policy on PPPs is adhered to. (CO, end of July 2013).
		39. Follow-up with the private sector actors that have shown interest in being involved in the provision of services. (M&E with the requested support from the Agricultural Mechanization Division, end of June 2013).
		40. Meet and agree with other departments on a way forward for developing a MoA Information Management System (IMS), which should include assessment of recent experience and current needs and priorities. (M&EO, a.s.a.p.).
3. Project Management		
No Agreed Actions decided upon under this Component during Oct 2012 mission.		41. Develop life of project timeline for major deliverables e.g. geographic coverage, privatization of tractors, construction of ASCs, persons trained per year. (PM and M&EO, end July 2013).
		42. Prepare revised and expanded TOR for the baseline survey. (IFAD M&E, end of June 2013).
		43. Identify institutions in the region with past experience with conducting surveys for IFAD projects. (M&EO, mid-June 2013).
		44. Re-tender by inviting proposals from at least five prequalified institutions in the region. (M&EO and PO, end June 2013).
		45. Operationalize the Surveys/Studies Reference Committee (SRC). (PMT, timing to be determined).
		46. Add columns for activity monitoring to 2013/14 AWPB and use for adding status information. (M&EO, mid-June 2013).

Agreed Action (October 2012) with Responsibility and Deadline	Status Update by PMT May 2013 <i>(notes by the mission in italic)</i>	Agreed Action (May 2013) with Responsibility and Deadline
		47. Prepare TOR to recruit short-term TA to assist the M&E Officer to operationalize an M&E system and conduct staff training on M&E. (PMT, end July 2013).
		48. M&E training for the M&E Officer, selected PMT members, district focal points and field staff. M&EO, end of Oct 2013).
		49. Prepare draft TOR for a KM strategy based on similar strategies/TOR previously prepared for other IFAD projects in the region. (M&E w IFAD support, July 2013).
Financial Management		
No Agreed Actions decided upon under this sub-component during Oct 2012 mission.		50. Improve the Financial Management Manual (with the help of a consultant). (PM and FC, end of Sep 2013).
		51. Install the cost centres for facilitating the access of IFAD Loan and Grant Funds in the deposit accounts 65218 and 67615. In the MFDP. (FC, 31 May 2013).
		52. Re-propose the creation of a 3-person qualified team for Financial Management dedicated for ASSP, including Financial Controller, Assistant and Procurement Officer. (PM and FC, Sep 2013).
		53. Install the Oracle Accounting Software and appropriate Chart of Accounts in ASSP. (FC, end of June 2013).
		54. Confirm the Accountability of the IFAD remittance of USD 22,500. (FC, end of June 2013).
		55. PMT to request for USD 207,000 as a top up to the Loan Designated Account in conformity with Loan and Grant Agreement. (FC, end of Sep 2013).
		56. Submit ASSP Audited Accounts for 2012/13 Financial Year to GoB and IFAD. (PM and FC, end of Sep 2013).

Appendix 4: Sub-Component 1.1: Agricultural Mechanisation

1. High quality, timely and efficient tractor services is at the base of all increases in productivity, for farmers, large and small. If this key activity is not performed up to standard, then the impact of subsequent investments in seeds, fertilizers and crop protection products will have greatly reduced or even no impact.
2. It stands to reason that the quality of tractor services can only be as good as the quality of the tractor operators. Improvements necessarily have to start here. The MoA recognizes the importance of this issue, which is well outlined in the project design report. The document identifies improvement in operator training as a key activity and allocates almost nine per cent of the project budget to this (USD 2.23 million for the agricultural mechanisation sub-component, where operator training is a key activity). In a ministry operating under significant budgetary constraints, this financial envelope presents an important opportunity to have a real impact on Botswana's agricultural productivity.
3. Training, in itself, is not enough. A conducive regulatory environment, which provides competitively remunerated, full time employment, must accompany improvements in technical competencies of the operators. If not, investments in training will not have an impact, as operators will continue to quit their temporary jobs in favour of full time employment.
4. The design report preconceives the establishment of a certification programme for tractor operators but goes into little detail on the contents such a programme. The ASSP must lead MoA efforts in developing such a programme, supported by a USD 2.3 m budget for the agricultural mechanization sub-component, while working on changes in the regulatory and financial environment to render tractor operation a real profession and not just a "default seasonal employment option".
5. Key elements of a tractor operator certification programme would include: definition and development of a specific curriculum, establishment of the expected level of proficiency to be attained by trainees, agreement on ways to measure levels of proficiency, standards to be certified, follow-up training, rating of operator services by farmers, etc.
6. Well-crafted incentives must be developed to make certification meaningful and sought after by tractor operators. Incentives might include financial pay differential for certified operators, guarantees regarding the amount of off-season employment, competitions on tractor operation and maintenance, and recognition for superior achievement by Botswana's highest authorities.
7. From a technical perspective, the ASSP/MoA should critically assess the quality and content of the current tractor operation training programme. What are its strengths and how can these be amplified? Where does it need improvement? Is it responding to the needs of the operators? Is there adequate post-training follow-up? Are all the topics which should be covered (such as minimum tillage, and conservation agriculture) a part of the curriculum? Is there a role for private tractor dealerships to do training as a remunerated service provider? What are the available training resources both within the region and internationally which can be brought to bear to improve capacity? What would a certification programme look like? What role could the MoA play in enhancing the attractiveness of the job of tractor operator? How can the MoA Communications Department support these efforts?
8. It is suggested that international technical assistance is mobilized to support ASSP activities in the mechanization sub-component as well as the closely related sub-component 2.2 on the Agricultural Service Centres. The Country Programme Manager has been investigating potential sources of technical assistance. The FAO has significant expertise in agricultural mechanization. MoA senior management is strongly encouraged to formulate a request to the resident FAO Assistant Representative to provide TA for the programmed situational analysis and training/certification of tractor operators. The CPM contacted a Washington-based NGO, which provides U.S agricultural expertise from farmers and agricultural mechanization experts gratis, and there appears to be a possibility of mobilizing this resource in support of the agricultural mechanization sub-component.
9. Regional training resources, both public and private, should be investigated. South Africa has several agricultural institutions, which may have a role to play in support of ASSP agricultural mechanization activities. There are also private sector service providers, such as Africa Skills, which do specific trainings in mechanization.

10. It is strongly suggested that the ASSP organizes a one or two day round table discussion, under the direction of the Irrigation Officer, to explore these issues. Representatives from GoB training institutions, agricultural institutes, regional training centres, tractor owners and tractor operators, farm managers, subsistence and large farmers, MoA HQ and field personnel including youth and gender officers, and commercial dealerships should be invited. The event needs to be well planned and conceived with the identification of specific desired outcomes such as concrete recommendations on how to improve training, a definition of roles and responsibilities of various partners, preliminary costing of different activities, and an action plan and road map which identifies critical tasks and timing over the life of the project.

11. Identifying possibilities for off-season employment is essential to making tractor operation an attractive employment option. The ASSP needs to get MoA senior management buy-in and put this high on the ministry's agenda. The creation of off-season employment would necessarily involve several public entities in addition to the MoA such as the Ministry of Labour and Home Affairs, the Ministry of Local Government, Ministry of Youth, Sport and Culture, and City and Town Councils. The opportunities to develop Public-Private Partnerships with economic operators should be investigated. Are there tax incentives, which could be developed to encourage the private sector to hire certified tractor operators, for example?

12. A logical starting place would be an investigation of opportunities for off-season employment in the pilot ASC areas: Parakarungu, Tonota and Jwaneng. Are there seasonal employment opportunities within the MoA or local government (trash collection, maintenance of public spaces, road repair, local transport of bulk items)? Are there existing GoB funds that can be used to create and finance jobs such as the Youth Fund or Women's Fund? Are there possible off-season employment opportunities for operators in the future ASCs, which could be paid for through rental fees for shops occupied by private agricultural input dealers?

13. USD 200,000 has been allocated in the 2013-14 budget to conduct a situational analysis of agricultural mechanization through a consulting contract under the direction of M&E and Irrigation Officers. One possibility is to have the above-mentioned workshop as a key event during the consultancy. This would facilitate information gathering for the consultant who would benefit from the brainstorming sessions. This option needs to be weighed against the anticipated delays in procuring the services of a consultant. Otherwise, the round table workshop can occur prior to the consultancy. This would require special attention being paid to recording the proceedings of all discussions so that the consultant can fully benefit ex-post from workshop outcomes. The workshop needs to consider specifically the mechanization needs and limitations of small farmers and map out potential solutions to make the provision of tractor services to smallholders effective for the farmers and efficient for the tractor owner/operator. The issue of the privatization of ISPAAD tractors and a decision to either lease or sell outright the tractors and associated implements must also be covered by the workshop and consultancy. The M&E and Irrigation Officers need to get this component moving. A first step in that direction is the initiation of preliminary discussions about the organization of the round table and the decision on whether to conduct the round table before or during the consultancy. Then draft terms of reference should be elaborated for the consultancy and for organizational tasks related to the round table discussions.

Appendix 5: Sub-Component 1.2: Improved Rainfed Agricultural Practices

1. A wide range of factors (agro-ecological, socio-economic as well as institutional and cultural) contributes to the prevailing low yields in the arable sub-sector in Botswana. Among the contributing factors are weak linkages between research on improved technologies, extension and adoption by farmers. Sub-component 1.2, which has been allocated USD 2.69 million, constitutes almost 11% of the budget to address some of these factors that challenge the adoption and adaptation of improved technologies by farmers.

2. This is foreseen to be done by facilitating the development and transfer of appropriate, improved agronomic technologies through establishment of efficient linkages between research, extension and farmers, for instance in the form of establishment of a MoA-based Research Extension Linkage Committee and providing support to the existing 'District Technical Committees' to coordinate demonstrations on farmers' fields. The project will furthermore engage in a range of adapted and targeted capacity development approaches like "Farmers' Field Schools" (FFS), study tours, on-farm demonstrations and yield trials, including testing of various conservation agricultural techniques.

3. The design report predicts the establishment of ten Farmers' Field Schools for Conservation Agriculture for each ASC with 20 farmers in each field school, i.e. a total number of 150 FFSs with a total of around 3,000 participating farmers. This will be a major undertaking and requires a well thought through strategy in order to be a manageable and successful initiative. But experience demonstrates that, although the FFS approach involves considerable costs in terms of time and effort by the participating farmers, the potential benefits and impact from participating are high and worthwhile, if the initiative is thoroughly planned and conducted.

4. The project plans during the 2013-2014 AWPB to conduct a regional tour for farmers and extension staff to study the Farmers' Field School approach in preparation for establishing the Farmers' Field Schools on Conservation Agriculture in Botswana. Organizing a study tour to learn from experiences in the region is a feasible approach as there are a number of considerations to take into account when planning for the establishment of successful Farmers' Field Schools. (Refer also to Appendix 3 of the 1st joint Implementation Support Mission Report from November 2012). First of all, Farmers' Field Schools are based on significantly different participatory facilitation methodologies than traditional extension approaches where farmers often are (passive) recipients of advice, and therefore requires different skills of the FFS facilitator (than traditional extension approaches). –While the FFS is an effective learning methodology it is also more resource demanding than approaches where extension messages are developed elsewhere and then demonstrated to farmers by field extension agents. The FFS is a long term learning process where farmers are gradually presented with new technologies, ideas, situations, and ways of responding to problems, in a setting where it is farmers demonstrating to fellow farmers, and discussing their challenges and the opportunities of the technologies. The knowledge acquired during the learning process builds on existing knowledge, allowing farmers to investigate for themselves the costs and benefits of alternative management practices for improving farm productivity, enabling them to adapt existing technologies to become more productive, more profitable, and more responsive to changing conditions, and importantly, enabling them to make informed decisions regarding adoption of new technologies.

5. Specific actions needed preceding the establishment of the FFSs:

- TNA of extension staffs' training needs in order to assess the level and nature of training required to prepare and equip the extension staff that will be the FFS facilitators with the necessary facilitation skills to organize and successfully facilitate FFSs. This needs assessment should be part of the planned TNA of extension staffs' training needs.
- Based on the TNS, organize the necessary training of FFS facilitators.
- Also preceding the FFS itself are preparatory meetings to present the FFS concept to farmers/potential participants, to assess their level of interest, discuss and determine needs and develop learning agreements. It is important that the participants are made aware that participation in a FFS involves a considerable commitment in terms of time and effort, so that they can make an informed decision whether or not to participate in a FFS.

6. The planned regional tour for farmers and extension staff to study the Farmers' Field School and conservation agriculture is a valid element in this important preparation for the establishment of

the Farmers' Field Schools for Conservation Agriculture in Botswana. IFAD is presently assisting the PMT in finding relevant FFS and CA experiences in the region. Zambia has some promising experiences with conservation agriculture and might be a potential destination for the study tour. IFAD consultant has also been in contact with PROCASUR⁴, a learning organization, supported by IFAD to facilitate learning approaches. Through an IFAD grant PROCASUR supports "Learning Routes" as a knowledge management and capacity building tool for rural development in East and Southern Africa. It has been agreed that PROCASUR will draft an overview of a possible "Learning Route for Farmers' Field Schools for Conservation Agriculture" and send it to the project before the end of June 2013, for further discussions and elaboration, in order for the PMT to be able to analyse *whether* this could be a "Learning Route" is a continuous process of training in the field organized thematically around successful experiences, case studies and best practices in innovative rural and local development in which local actors themselves become trainers. A Learning Route is a planned journey with learning objectives that are designed based on two core components: (i) the knowledge needs of the learning route participants (in this case, the farmers and the extensionists that will facilitate the FFSs on CA) and, (ii) the identification of relevant experiences in which local actors (farmers that have adopted CA) have tackled similar problems in innovative ways, with successful results and accumulated knowledge which, is potentially useful to others. The Learning Route has proven to be a powerful method for fostering capacity building through peer-to-peer sharing of knowledge, experiences and good practices". www.africa.procasur.org possible route to follow for the learning and establishment of the FFSs in Botswana.

7. Research-extension-farmer linkages are weak and the adoption of new and/or improved technologies --such as conservation or climate smart agriculture-- is low for arable farmers in Botswana. To improve adoption rates, facilitation for adoption should be guided by an understanding of, and with due attention to, the incentives and risks confronted by small-scale farmers in adopting new and/or improved technologies and innovations. Some of these major factors that influence farmer adoption rates are: the farmer's wealth, age, gender, education, production goals, farm size, labour (including changes in labour requirements, timing of activities and peak periods during the year, labour availability within the household, off farm employment, availability of hired labour), equipment and machinery (including access to machinery and equipment required for the new/improved technology), land tenure, compatibility (of the new/improved technology) with existing farming system, agro-ecological conditions, supply system, access to credit, information and training, marketing.

8. In an attempt to increase adoption rates and extension efficiency the establishment of a MoA-based 'Research Extension Linkage Committee' and support to the existing 'District Technical Committees' to coordinate demonstrations on farmers' fields are parts of the 2013-2014 AWPB. These are valuable initiatives as the eventual adoption of the recommended technologies should be a constant concern of all research in all its various phases. And development of user-oriented technology has to be well targeted to agro-ecological zones and socio-economic categories of farmers in order for extension to be efficient.

9. Extension theories talk about the four A's when talking about the likelihood of farmers' adopting new or improved technologies and innovations:

- **Acceptability** - How is the innovation/improved technology expected to perform compared to the existing alternatives? Is it likely to deliver what is intended? Does it compromise existing activities that are prioritised by the farmer?
- **Affordability** - Can the intended target group afford the costs involved in acquiring and maintaining the recommended technology?
- **Accessibility** – Are the inputs for the recommended new/improved technology locally available at the moment that the farmers need it? Does the farmers have the information and knowledge on how to apply the new technology?

⁴ PROCASUR is a private non-for profit international organisation established in 1996 in Santiago, Chile. PROCASUR aims to provide the technical services and tools to manage knowledge and build capacity for public and private actors engaged in the fight against rural poverty in the developing world. With Headquarters in Latin America, it has three operating regional offices in Latin America, Africa and Asia and the Pacific.

- **Attractiveness** – How is the economic competitive position of the recommended technology versus the presently practised technology, i.e. does the farmers get substantial extra revenue if s/he decides to innovate; does the marginal rate of return justify investing in the new/improved technology?

10. It goes almost without saying that a thorough understanding and consideration of the factors influencing farmers' adoption rates can greatly influence and improve research and extension efficiency.

11. "Demonstrations on farmers' fields, or on-farm demonstrations" is a common extension methodology in Botswana; it features prominently in the design report and is part of the project's extension strategies. "On-farm demonstrations" is a classic extension methodology, and has served extension purposes well for many years. There are, however, a range of factors to consider when designing and supervising on-farm demonstrations, like location and selecting farmers who understands the objective of the demonstrations, have an interest in the demonstration, are respected in the community, and can contribute time, labor and equipment. One aspect that are often overlooked is the economic aspects of the demonstrated technology, which is a serious oversight since this is often the most convincing factor for farmers considering to adopt a new, or improved technology. Especially in a project like ASSP which aims to promote 'farming as a business' and install economic thinking into the farming business, the economic returns should always be considered and be part of the discussions and evaluations with the farmers.

Appendix 6: Sub-Component 1.3 Pilot Scheme for Smallholder Wastewater Irrigation

Introduction

1. The irrigation expert⁵ of the implementation support mission worked in country from 19 to 31 May 2013 and visited the Palapye area. In carrying out his task, the expert worked in close cooperation with the Ministry of Agriculture (MoA) at National, District (Serowe) and Sub-District (Palapye) levels. At District/Sub-District level, the mission met with stakeholders and officials from the Environment Affairs Department (DEA), the Water Utilities Corporation (WUC), the Land Board and the Sub-District Water Resources Development Department. The mission visited the 29 ha Palapye plot, the Wastewater Treatment Plant (WTP) and the areas surrounding the Palapye plot. At National level, the mission met with the MoA Department of Agribusiness Promotion and the University of Botswana⁶ to discuss collaboration options in the field of wastewater risk mitigation analysis. In the Aide Mémoire (AM) the main findings and recommendations are highlighted.

2. This report provides more details on irrigation development activities under sub-component 1.3 of the project, notably: i) implementation status; ii) technical input to the ToR for the EIA⁷; iii) draft ToR for the international TA on wastewater management and scheme management models⁸; and iv) a power point presentation of the proposed selection process and list of selection criteria. A power point presentation on Irrigation Scheme Development Steps, including training and communication; and Terms of Reference for the Design and Supervision of the Irrigation Scheme have been sent as separate files and are not included in this report.

Implementation Status

3. Progress in the Irrigation Component is behind schedule. Measured against the 2012-2013 AWPB, some progress was noted on component activity 1.3.2 'Development of wastewater irrigation scheme', whilst little progress was made on activity 1.3.1 'Stakeholder consultation and analysis'. No progress was made on activity 1.3.3 'Compliance with established wastewater quality standards'. Of the ten agreed actions during the previous Joint Implementation Support Mission, four have been partially completed. Work has not yet commenced on the remaining six agreed actions. At the current rate of implementation, the component will not reach its objectives within the planned timeframe.

4. Good progress has been made on the preparation of the ToR for the design of the wastewater irrigation scheme. The ToR was reviewed and requires minor changes before finalisation. The ToR has been sent as a separate document and is not included in this mission report. Partial progress was made on debushing of the 29 ha plot in Palapye. Debushing started beginning of 2013 and has since then been hampered by frequent bulldozer breakdowns and bureaucratic repair procedures. During the mission, the bulldozer of the Department of Water Resources had already been lying idle for four weeks, waiting for the replacement of an oil tube in its hydraulic system. Initial progress was very good due to the use of a relatively new bulldozer of the Animal Husbandry Department, which was unfortunately relocated to the North East in view of recent animal disease outbreaks. The plot perimeter is almost ready for placement of the perimeter fence.

5. Partial progress was booked on the beneficiary selection criteria. Further work was carried out during the mission with the team, in particular the Irrigation Officer (IO) and M&E specialist in the PMT and the MoA Youth Officer⁹. The outcome of those discussions is presented in the last part of this Appendix.

6. The mission also took note of the 1-week data series of the discharge at the outlet of the WTP and the visual improvement of the effluent quality. The agreed actions on collection of discharge data and independent water quality analysis were not carried out and need to be followed up in the coming planning period.

⁵ William Oliemans, IFAD Irrigation Consultant, working in close cooperation with Mr. Mokwadi Mapitse, Irrigation Officer of the Ministry of Agriculture and member of the PMT

⁶ The mission met with Dr Hillary Masundire, Head of Biological Sciences at the University of Botswana

⁷ The input has not yet been drafted in the form of MoA-standard tender documents and provides technical input only. The input is provided as Annex 2

⁸ Included as Annex 1

⁹ Mrs. Pelontle Seabe, MoA Youth Officer Central District, based in Serowe.

Irrigation Scheme Development Steps

7. During the previous mission, it was discussed that the development of the Palapye Pilot Scheme involves both technical, social, managerial and business development aspects. Targeting is also needed to include women-headed households, youth and disadvantaged groups. The relationship between these four strongly linked aspects in the development of the Irrigation Scheme was discussed in detail with the team.

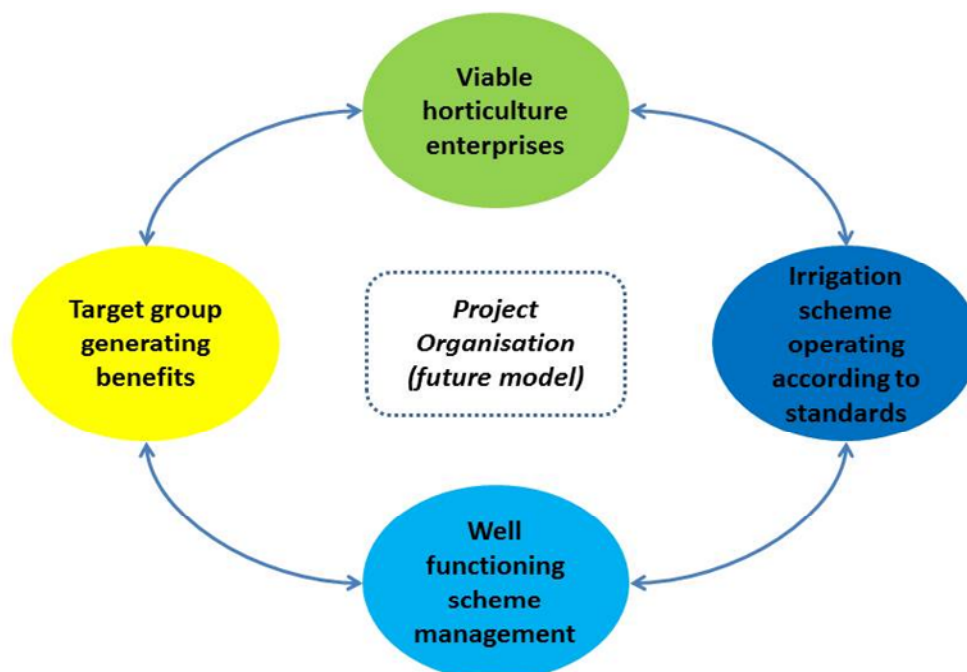


Figure 1: The four related processes of Palapye scheme development

8. The phasing and sequencing of these processes was also discussed. There is a clear need to further detail and plan a set of development steps¹⁰ and to put the planning of the Palapye scheme on a better footing. In figure 2 below, the relationship between the four processes is visualised.

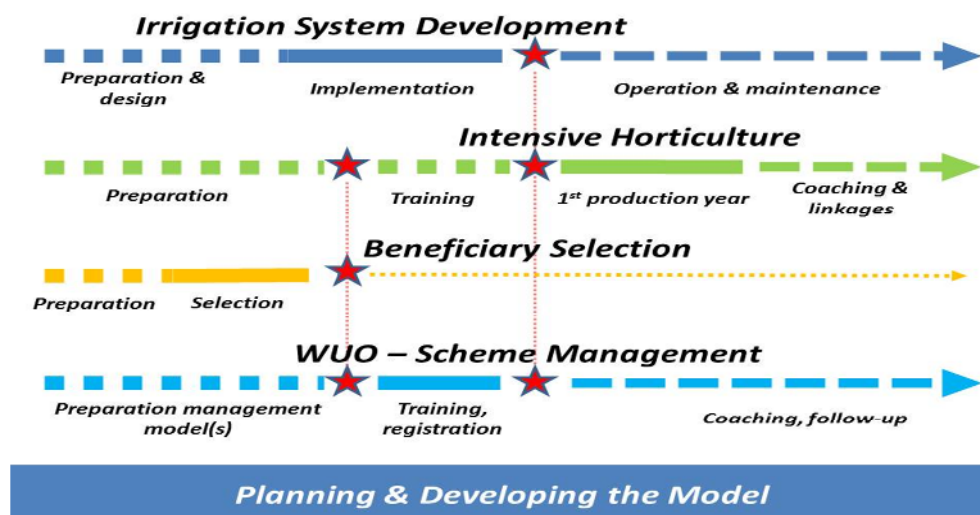


Figure 2: The four processes visualised in time

¹⁰ See also Appendix 2: Schedule of Activities for Sub-Component 1.3: Palapye Irrigation Scheme of the October 2012 Technical Annex on Irrigation to the Implementation Support Mission Report

9. Training and communication is key to guide the ‘new’ farmers to: i) develop viable horticulture enterprises and ii) enable unorganised individuals to play a meaningful part in the operation and maintenance (O&M) of the irrigation scheme. As the technical design process (including EIA) are now taking off and will require at least 6-9 months to be completed, the coming planning period provides an excellent opportunity for the team to prepare for the training and communication activities. Training needs include (see also October mission report Technical Appendix on Irrigation for a detailed overview of training topics on scheme O&M and water management¹¹):

- (a) Irrigation scheme set-up; cost, benefits & risks, including wastewater use;
- (b) Project (incl MoA) & beneficiary roles & obligations;
- (c) Selection requirements and process;
- (d) Horticulture production;
- (e) Market & business development (linkages to Botswana Horticultural Association, supermarkets);
- (f) Risk mitigation for wastewater use¹²;
- (g) WUA functioning.

10. Steps needed are:

- (a) Assign a Training & Communication Coordinator;
- (b) Procure or organise in-house, the development of training modules and communication activities and materials¹³;
- (c) Monitoring.

11. Little progress was made on the development of a suitable management model for the scheme. This is a complex issue, which requires preparation at field and policy level. A number of management models were discussed during the mission, with a view to develop a replicable model for other smallholder schemes in the country. The models discussed are presented here below. The mission agreed with the team that TA would be procured to develop the management model for the Palapye Pilot Scheme. A draft ToR for such a TA input can be found in Annex 1. Key aspects include:

- (a) Long term water right in the name of the MoA, with a delivery obligation by the WUC;
- (b) Security of water supply for the users (organised as a WUA or Enterprise founded by all water users in the scheme) through a water right, long term agreement or lease;
- (c) Management agreement between MoA and the water users on the rights and obligations of both parties, including distribution of risks, e.g. through an insurance or a GoB Guarantee Fund;
- (d) Establishment and strengthening of the WUA through a strong training effort and supported by clear documentation.

12. The following management models were discussed:

- (a) MoA management; as in Dikabye and Glen Valley. This is the existing model from which MoA would like to move away. Service delivery is sub-optimal, less than 50% of the irrigable land is actually irrigated and the cost to GoB is very high;
- (b) MoA engages a management contractor; for Glen Valley, a maintenance contract has recently been awarded to enhance service delivery. The contractor is only responsible for maintenance & repair and not for water delivery;
- (c) WUA manages and charges members; entailing setting up a WUA, developing a (temporary) legal framework and providing tailor-made management & technical training support;
- (d) MoA – WUA jointly engage a management contractor and charge members; whereby MoA and the WUA share (well defined) responsibilities and MoA technical staff is still available to support the WUA in technical and business matters;

¹¹ These include 6 modules: Module 1: Tasks & structure of the WUA, incl. exposure visit; Module 2: Drawing up the constitution; Module 3: O&M of the irrigation system; Module 4: Finance & administration; Module 5: Leadership & conflict resolution; Module 6: WUA follow-up coaching.

¹² It was agreed that independent water quality and wastewater risk analysis would be procured in the coming period, e.g. through the University of Botswana.

¹³ Care should be taken that training is practical and lively, including a combination of hands-on workshops, field visits, guest trainers and farmer coaches, complemented by classroom sessions.

- (e) WUA engages a management contractor and charges its members; which would be a variant of model (c), with a professional contractor/consultant to actually operate and maintain the scheme, requiring a strong training effort for the WUA;
- (f) A Public Private Partnership in which the users/beneficiaries, government and a private company jointly operate the scheme and distribute the benefits and risks.

13. When comparing the suitability of these models, and taking into account the technical set-up of the scheme¹⁴, the mission and team identified a number of core requirements, leading to a preliminary ranking, as illustrated in the multi-criteria analysis (MCA) table below. Core requirements include:

- (a) Responsiveness to carry out timely and preventive maintenance;
- (b) Fair and timely delivery to all beneficiaries of the scheme;
- (c) Cost of O&M to the beneficiaries;
- (d) Recovery of water charges from the beneficiaries;
- (e) The need for capacity building (as an inverse).

Table 1: MCA comparison of selected scheme management models (preferred option in *italic*)

Key points	MoA manages	MoA engages man. contr.	WUA manages - charges fee	MoA-WUA jointly engage man. contr.	WUA engages man. contr.	PPP
Maintenance quality	--	0	-	+	+	+
Timely delivery	-	0/+	+	+	+	+
O&M cost (managing risk)	--	-	+	+	+	-
Recovery of water fees	--	--	-	0	0	+
Need for capacity building (inverse)	+	0	--	-	--	--
Total	-	0/-	0	+/-	+/-	0
Note	GoB man. not responsive – no sustainability	Distribute risk – ensure responsiveness	Requires very strong training effort and legal status	<i>Joint man. agreement – information need for WUA - ensure responsiveness</i>	WUA needs training - guidance – coaching	For the future ...

14. As can be seen from the MCA table, there is no single model that meets all the requirements. A preference emerges for a joint management model, with the WUA and MoA sharing responsibility and costs, at least in the short run, in engaging a professional management contractor to carry out the day-to-day O&M of the scheme. Under this model, a strong preparation and training effort is needed, involving both the preparation of hands-on contract documents and on-the-job training for the WUA. MoA will need to assume a new role in supporting the WUA and needs to develop its own competence in that regard. To facilitate the initial development of the WUA and the build-up of viable horticultural enterprises in the first three years of the scheme, the mission and team propose that an O&M fund is set up within MoA. This fund will share in the O&M cost for the scheme for a period of e.g. three years through a decreasing scale.

15. Together with the team, the activities to develop the management model and the scheme were identified. These are visualised in figures 4 below¹⁵.

¹⁴ Irrigation will be based on intensive horticulture with drip irrigation. Each plot will have its own water meter to measure actual water consumption.

¹⁵ All the figures in this Appendix have also been sent as separate power point files.

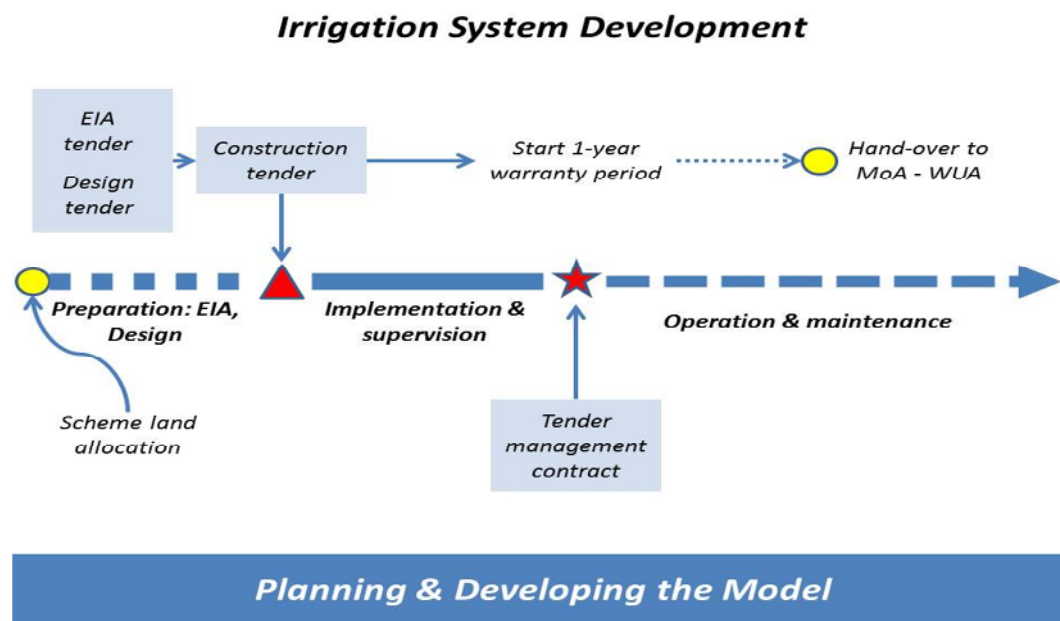


Figure 3: Irrigation system development steps

16. As visualised in figures 2 to 4, the development of the irrigation component and the scheme model requires a number of well-timed activities, for which the current capacity is insufficient. It was agreed that a focussed TA, specialised in irrigation scheme management, would be procured at short notice. The TA would be procured to: (i) provide overall planning and implementation support to the component; (ii) develop a step-wise multidisciplinary process integrating technical, horticulture business, scheme management and training-communication steps; and (iii) develop a well-documented scheme management model with an eye to future wastewater irrigation development in the country. (Draft ToR for this TA is provided in Annex 1).

17. Minor progress was made on increasing the eligibility for financing for the type of smallholders that are foreseen in the pilot project. The Department of Agribusiness Promotion agreed to support ASSP in developing enterprise models for 0.5 and 1.0 ha plots which would assist the prospective beneficiaries to seek financing for their investment in field-level drip irrigation and horticulture inputs (key process 3). These models are also the basis for ASSP and MoA to engage in discussions with e.g. the parastatal CEDA to relax their current requirement of a minimum of 2 ha to access financing. The availability of nutrients (N and P) in the irrigation water and the bearing of the investment cost by the project needs to be taken into account when developing the enterprise models. These two factors will allow for lower 'viability threshold' and thus support the project objective of including the poorer households in the scheme. Data on N and P levels in the effluent (for 1 measurement!) can be found in the Technical Annex on Irrigation in the October 2012 Joint Implementation Support Mission report.

18. Beneficiary selection for the Palapye pilot scheme is the fourth key process in the irrigation component. Selection needs to balance the need for: (i) targeting smallholders and disadvantaged groups with; (ii) the desire to incorporate business-oriented farmers that will generate enough income to be able to pay for long term O&M of the infrastructure. Based on the list of criteria already developed in the previous months, the following set of criteria was agreed upon. In addition, it was also agreed that the selection process itself needs to be carefully managed as the selected farmers will be members of the scheme for many years to come. Key points are; (i) the clarification of the selection criteria and process; (ii) formation of a selection committee to guide and record the selection process; and (iii) the preparation of a clear agreement between MoA and the selected beneficiary. The MoA – beneficiary agreement should clearly outline the rights and obligations of each party. The main elements of the selection process are visualised in the power point slides below.

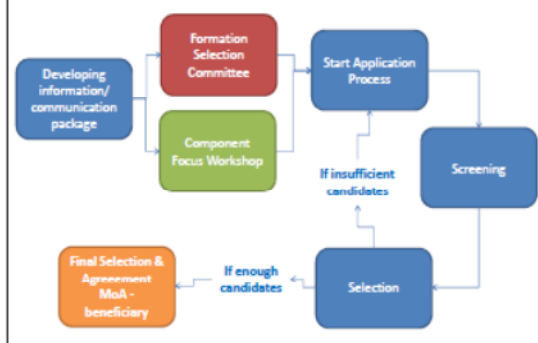
Irrigation Component Palapye

Selection Process and Criteria

Beneficiary Selection – Basic Data

- 0.5 ha for individuals; 1.0 ha for groups
- 20 ha individuals (40 farmers), 4 ha groups
- 30% youth; 30% women; 40% free
- Preference criteria needed if knock-out criteria produce too many applicants
- Sourcing outside Palapye if insufficient eligible applicants

Selection Process



Start: Component Focus Workshop

- Information workshop on the scheme, benefits and conditions
 - Benefits, costs & financing options
 - Responsibilities of farmers, WUA and MoA (management model) – draft MoA – WUA agreement
 - Information on wastewater irrigation benefits, risks and mitigation
 - Selection criteria
 - Separate day for disabilities (tailor made)
- Workshop set-up: presentations, field trip and Q&A
 - Farmer
 - Youth Fund - Financiers
 - Engineer
 - Communication, materials & visuals

Beneficiary Selection – *knock-out criteria*

- All:
 - Willingness to pay for O&M charges
 - Willingness to become member of a WUA
 - Resident of Palapye sub-district
- Youth, women, disabilities, groups:
 - Proven experience with farming or appropriate education (attestation by financing agency)
 - Management plan (form to be developed – use youth fund/other format) – attested by YF officer/other officer
- For groups - additional:
 - Registered as a group with constitution (company, Agriculture Management Association, cooperative)
- 'Free' category:
 - Approved source of funding
- Final Selection for all based on the availability of a financing agreement

Beneficiary Selection – *preference criteria*

In case there are more qualifying candidates than plots

- Proven experience with horticulture
- Business plan
- Positive interview selection committee (MoA, financiers, lead farmers)

Specifically for groups:

- Experience in working in groups
- Experience in the particular group
- Inclusion of disabled people in the group

Beneficiary Selection – *process*

- Selection committee composition:
 - MoA: Horticulture / Irrigation / Youth / Agribusiness
 - Chair & Secretary assigned by PMT
- Roles-tasks
 - Oversee the application, screening and selection
 - Invite members of the interview panel (including Secretary)
 - Report to PMT
 - Give written feedback to applicants
 - Decide on future exit-entry according to terms and conditions MoA – beneficiary

Agreement MoA - Beneficiary

After Selection, an agreement is signed between MoA and Beneficiary:

- Water right and usage
 - Beneficiary right to irrigation water (time – quantity) through the WUA
 - Beneficiary obligation to adhere to WUA regulations on O&M; water charges paid in full/on time (reallocation after 1 year of non-payment)
 - Beneficiary, through the WUA has access to O&M fund at MoA: 3-year contribution at Y1: 50% - Y2: 25% - Y3: 25%
- Land use
 - 10 years lease, either between MoA and beneficiaries or between Lands Department and the beneficiaries
 - MoA provides extension and training support for 2 years
 - Plot should be cultivated minimum 2 crops a year (reallocation after 2 consecutive years of fallow)
 - Sub-leasing will lead to reallocation
 - Compliance with Agriculture and Chemicals Act (2009)

Potential financiers

- Youth fund (18 – 35 yrs, access to land, water, 100 000 of which 50 000 grant, 50 000 interest free loan, 6 months grace, 5 year repayment, based on business plan)
- Women's fund (150 000 max, grant, based on business plan ... To verify)
- UNDP small grants fund (registered groups with constitution, 5 000 000, for medicinal products ... To verify)
- CEDA (500 000, loan at 5%, grace period 6 months, 5 years repayment, based on business plan)
- ISPAAD (up to 200 000, individual 60% - Government 40%, group 40% - Government 60%)

Annex 1: Terms of Reference International TA - Wastewater Irrigation Scheme Models

BACKGROUND

As part of the Agricultural Services Support Project (ASSP), which is co-funded by the Ministry of Agriculture (MoA) of the Government of Botswana (GOB) and the International Fund for Agricultural Development (IFAD), the Ministry of Agriculture is developing a smallholder wastewater irrigation scheme in Palapye sub-district. For this purpose the MoA has acquired a long-term lease of a 29 ha plot. Out of the 29 ha, it is expected that a net 24 ha will be available for irrigation. The source of irrigation water will be the treated effluent from Palapye Wastewater Treatment Plant (WTP). The irrigation scheme is being developed as part of the Irrigation Component of the Project.

The project aims to provide irrigation services to smallholder farmers to enable them to develop viable horticultural enterprises. In line with Government policy on reuse of effluent water, the scheme will be based on drip irrigation. Contractors are currently being sourced to produce a design and carry out construction of the scheme.

A decision has been made by MoA that the management, operation & maintenance (O&M) of the scheme will be the joint responsibility of the MoA and a Water Users Association (WUA), yet to be established. It is envisaged that for the day-to-day O&M of the scheme, an irrigation management contractor will be engaged and supervised by the WUA with technical support from the MoA. There is no or little experience with WUA development in Botswana as yet.

SERVICES REQUESTED

The Project now wishes to engage the services of a consultant to develop a sustainable management model for smallholder scheme management in the Palapye Pilot Scheme and provide overall support in the field of water management and irrigation planning. The support is foreseen through four (4) missions in a six (6)-month period according to the a schedule of two (2) weeks consecutive input per month in Months 1 and 2, and two (2) weeks consecutive input in Months 4 and 6 of the assignment. The total input will be eight (8) weeks.

More detailed information regarding scheme management and WUA development are outlined in i) the Joint Implementation Support Mission Reports of October 2012 and May 2013; and ii) the main project document and appendix on Irrigation Development. These will be made available to the consultant when the contract has been awarded.

Through his/her input, the consultant will work towards a better structuring of the activities in the Irrigation Component and the development of the management model for future expansion of smallholder and wastewater irrigation development in the country. Besides supporting the Irrigation Officer (IO) in the Project Management Team (PMT) of the Project, the consultant will also support the work of the field team in Palapye and other involved GOB staff in the PMT and outside the project as requested by the IO. The consultant will report to the IO of the PMT.

Specific tasks include:

- 1) Development of a suitable scheme management model for Palapye irrigation scheme by considering potential scheme management options and selecting the most appropriate option in close consultation with the IO and MoA senior management. The model should cover:
 - Organisation structure and general management
 - Legal and institutional arrangements
 - Water management/operational tasks
 - Asset management/maintenance
 - Finance and accountability
- 2) Develop sample regulations for the WUA, referring to the existing legal framework with respect to water management in Botswana;
- 3) Formulate practical and feasible recommendations for any changes to the existing legal framework, insofar as needed for the functioning of the WUA and scheme management model;

- 4) Develop a model contract between the WUA-MoA and a scheme management contractor for the day-to-day O&M of the scheme;
- 5) Develop a sample agreement between MoA and the WUA for management of the scheme;
- 6) Advise on a step-wise scheme development process to enhance scheme – WUA development. The process should include technical, social, managerial and business development aspects;
- 7) Provide overall planning support to the component.

Profile of the Consultant

The profile of the envisaged consultant would be:

- a) At least a Bachelors Degree in Water Management or Agriculture Engineering with a specialisation in Irrigation (management) or a Social Sciences/Management degree with a track record or further education in Irrigation Development;
- b) At least 10 years of professional international experience in smallholder irrigation and WUA development, in conditions comparable to the Project;
- c) At least 5 years of experience with multidisciplinary work, including social, managerial and business development;
- d) Experience in developing capacity building programmes;
- e) Analytical and problem-solving attitude;
- f) Affinity with staff training;
- g) Excellent writing and presentation skills (English);
- h) Experience in Botswana is preferable.

Application

Interested candidates are requested to submit their CVs, a 1 page letter outlining their motivation to undertake the assignment and their daily rate in US Dollars to the following email: to the attention of: Mr. Mokwadi Mapitse, Irrigation Officer of the ASSP PMT. Travel and other expenses should be quoted separately. A telephone or Skype interview may be part of the selection process. Selection will take place according to an equal weighing of price and quality. Any questions regarding this assignment may also be directed towards the above mentioned email address to the attention of Mr. Mokwadi Mapitse.

Annex 2: Technical Input to Terms of Reference Scoping and Environmental Impact Assessment Palapye Wastewater Irrigation Scheme

BACKGROUND

As part of the Agricultural Services Support Project (ASSP), which is co-funded by the Ministry of Agriculture (MoA) of the Government of Botswana (GOB) and the International Fund for Agricultural Development (IFAD), the Ministry of Agriculture is developing a smallholder wastewater irrigation scheme in Palapye sub-district. For this purpose the MoA, hereinafter referred to as 'the developer', has acquired a long-term lease of a 29 ha plot. Out of the 29 ha, it is expected that a net 24 ha will be available for irrigation. This activity will be referred to as 'the Project'. The source of irrigation water will be the treated effluent from Palapye Wastewater Treatment Plant (WTP). The effluent is currently being discharged into the environment. The irrigation scheme is being developed as part of the Irrigation Component of the Project.

The project aims to provide irrigation services to smallholder farmers to enable them to develop viable horticultural enterprises. In line with Government policy on reuse of effluent water and the mitigation of health hazards, the scheme will be based on drip irrigation. Contractors will be sourced to produce a design and carry out construction of the scheme.

With reference to the ENVIRONMENTAL ASSESSMENT ACT, 2011 (Act No. 10 of 2011) hereinafter referred to as 'the Act' and the ENVIRONMENTAL ASSESSMENT REGULATIONS (2012), hereinafter referred to as 'the Regulations', a Scoping exercise and EIA are now required. Reference is made to the decision to that effect taken on the 12th of November by the Department of Environmental Affairs (DEA), hereinafter referred to as 'the Competent Authority'.

SERVICES REQUESTED

The Project now wishes to engage the services of a registered EIA Practitioner to carry out the EIA in two main steps:

STEP 1: Scoping and Developing the ToR for the EIA, resulting in a Scoping Report, Draft and Final ToR for the EIA

STEP 2: Carrying out an EIA, resulting in an Environmental Management Plan (EMP) and Environmental Impact Statement (EIS).

The EIA Practitioner is required to provide the following services:

- 1) Produce a Scoping report, in line with Clause 7 of PART II of the Environmental Assessment Act (2011), to be submitted for review by the Developer before submission to the Competent Authority. In the Scoping report, a clear reference should be made to the applicable environmental norms that are in force in relation to the Project;
- 2) Produce a Draft ToR for the EIA for approval by the Developer;
- 3) Produce a Final ToR to be submitted to the Competent Authority for approval in line with Clause 8, Part II of the Act;
- 4) Carry out an EIA, in line with Clause 9, Part II of the Act; in close consultation with the Developer;
- 5) Produce an EMM, in line with Clause 9, Part II of the Act, in close consultation with the Developer;
- 6) Produce an EIS to be submitted for approval to the Competent Authority, in line with Clauses 9 and 10, Part II of the Act.

Timeframe

The timeframe for the EIA is foreseen to be 6 months in total, including two (2) months for STEP 1 and four (4) months for STEP 2. A deviation from this timeframe should be communicated to the Developer as soon as this becomes apparent and are subject to prior approval by the Developer. This

timeframe includes the periods required for public consultation outlined in the Act and Regulations but does not include the time required by the Competent Authority to review and approve the above-mentioned documents.

Maintaining close contact with Project

The EIA consultant will maintain close contact with the Project throughout the performing of the services outlined in this ToR. For this purpose, the Project has designated one contact person, hereinafter referred to as 'the Project Contact Person', to ensure a smooth and effective communication.

Quality assurance

In the carrying out of the services requested, the EIA Practitioner is fully responsible to ensure that all activities are carried out and reports produced according to the procedures set out in the Act and Regulations. Time delays that are the result of inadequate following these procedures or sub-standard quality of work are the responsibility of the EIA Practitioner.

Submission of Proposals

Interested EIA Practitioners are requested to submit a Technical and Financial Proposal according to MoA standards for tendering.

Appendix 7: Component 2: Enabling Environment for Smallholder Agriculture

Sub-Component 2.1: Improved Delivery of Extension Services

The focus of this sub-component is to address some of the main constraints that limit the efficiency and outreach of the extension service in an environment where the extension agents are overburdened and farmer to extension worker ratios are high. Furthermore, transportation and communication means are limited, prohibiting effective communication and service delivery to farmers. In-service training and capacity development of extension agents have during the last few years been significantly affected by budgetary constraints/prioritization. Therefore, the initiatives to address these challenges to effective service delivery focus around appropriate capacity development of extension staff, provision of transport and communication means to the extension service and development of appropriate extension strategies that takes into account the varied needs and socio-economic situation of the homogenous group that the farmers constitute.

In order to optimize the chances of successful targeting of arable smallholders and to increase the likelihood of impact on productivity, the extension strategies should take into consideration the following main principles:

- **Training Needs Assessment (TNA):** All capacity development initiatives should be preceded by a Training Needs Assessment (TNA) so that the training content, level, methods and approaches, venue, timing, etc are appropriately adapted to the target group for the specific capacity development effort.
- **Women and Youth:** Reaching out and effectively targeting women and youth requires an active approach that ensures that the planned actions are appropriate and attractive for women and youth, and designed to include them to the largest extent possible. Collaboration is recommended with the gender focal points and the youth officers in MoA HQs and in the Districts/Extension Areas.
- **Different targeting strategies to different groups of farmers:** Farmers are not a homogenous group, and their needs vary depending on a number of factors, like their socio-economic situation, gender, age, HIV/AIDS status, etc. For instance, the farmers in close vicinity of the ASCs have different opportunities than farmers living in more remote areas with a different socio-economic setting. (e.g. in the 100 Extension Areas beyond the 20 km radius of an ASC). Different targeting mechanisms, extension strategies and messages are therefore needed for the different groups. This sensitivity and attention to the fact that the ASSP target group includes a wide range of categories of farmers, each with their own needs, opportunities, challenges and risks, should be an integral part of how capacity development and other extension efforts are planned in the project.
- **Action planning and impact assessment as integral parts of capacity development efforts:** To increase the likelihood of sustained impact of the training and capacity development efforts, *action planning* (with concrete actions, based on reflections from the learning of the actual capacity development effort, and constraints and opportunities faced by the individual receiving the training) should be part of each training and capacity development effort. To measure the *impact* of the various capacity development efforts initiated by the project, 'beneficiary satisfaction interviews', assessment of adoption rates and other follow-up impact tracking measures (like questionnaires asking for beneficiaries' opinions about the efficiency of the capacity development efforts, and ways to improve them) should be put in place, as part of the project's KM&L system.

For ASSP to succeed in reaching out to the target groups it is *crucial that the extension staff are actively involved in the execution of the project*, and that an enabling environment is created for them to be able to function effectively. The appointment of ASSP *Focal Points* is an important step in the right direction. However, for the focal points to be able to function effectively and drive ASSP in the field, they need support and backstopping, and (most likely) additional training (beyond the 5-days ToT that was provided during a ToT training session in April 2013). The focal points should be fully involved from the onset of the annual work planning process (which from next year is recommended to start from the field level, and be preceded by an annual review in the form of an internal evaluation workshop with extension agents and PMT).

PMT staff should regularly meet the ASSP Focal Points and discuss with them various aspects of the project, provide feedback and guidance on how to take the implementation of ASSP further. This needs to happen on a regular basis in the field, but could furthermore take place during Quarterly ASSP Review Meetings that could function as a 'learning ground' where ASSP Focal Points meet and exchange experiences and receive support and guidance from the PMT.

Likewise, the Agricultural Demonstrators (ADs) are presently conducting monthly review and planning meetings at sub-district level. These meetings could in the same way be an important 'learning ground' where the ASSP Focal Points (and occasionally PMT members) meet with the ADs and share their challenges and possible ways to overcome these, provide feedback and coach and guide the ADs on the way forward.

Another initiative to facilitate engagement and effectiveness of extension staff would be to make basic information about ASSP available to all extension staff involved in ASSP. The development of an "ASSP Facilitators' Overview" booklet that describes ASSP, brief and concise, but with some explanations with regard to approach is recommended, as it is not realistic (nor intended) that the extension staff read the full ASSP Design Document, and it is of paramount importance for implementation to progress that the district staff become fully conversant with the ASSP scope and approach, in order to secure full buy-in and understanding around ASSP among the actors that will be playing a major role in the implementation.

An assessment of the training needs of the extension staff needs should receive attention. (The follow-up of the scheduled extension staff TNA). The ADs have as a minimum qualification a certificate in general agriculture from BCA; which covers the basic agronomic practices, from land husbandry, to horticulture, livestock husbandry and basic facilitation skills, but has limitations with regard to more business-oriented training in "farming as a business", small-scale business development, gender, etc. The scheduled TNA most likely will reveal a need also for training and capacity development of these frontline extension agents in small-scale business development, facilitation skills, etc. to improve their skills and competencies as change agents and facilitators of learning processes.

Sub-Component 2.3: Institutional Strengthening

The project's institutional strategy is to work through, complement and strengthen the main actors relevant to the rainfed and irrigation sectors, including government agencies, parastatals, NGOs, traditional kgotla leadership, VDCs, farmers' committees and associations, youth groups, private sector and other civil society partners.

Following the project's strategy to collaborate with the main actors that could strengthen ASSP initiatives, it is important for the PMT to remember that their role should be to keep an overview of project implementation and provide leadership and guidance to the districts on how best to implement the project as a whole. The PMT's role includes ensuring that learning is taking place, that implementation progress is being monitored, and not least that the project reaches its goal. In order to successfully do that the PMT members need to see their roles as guides and facilitators of the ASSP processes, not as 'doers'. The majority of the 'doing' should be outsourced and facilitated via the aforementioned actors supporting agricultural development in Botswana. -For instance, it is recommended that a concerted effort be made to engage MoA's Department of Agribusiness Promotion in ASSP's efforts to promote 'farming as a business' and develop agribusiness skills among extension staff and farmers. The Department of Agribusiness Promotion has at several occasions indicated that they are capable and willing and have the resources to assist ASSP in this. They have staff at District and often also at Sub-District levels; their field staff have an extension background, with additional training in agribusiness development, so they appreciate the farmers' considerations with regard to venturing into agribusiness development.

Dialogue with the private sector indicates a high level of interest by the private sector to be involved in the service provision and management of the ASCs. A workshop was conducted in Tonota with focus on the ASCs and the involvement of the private sector. It is important that the private sector stays informed and is involved as an active partner in the process of establishing the ASCs and making them viable entities to serve the sector.

A dialogue has been initiated also with Public Private Partnership (PPP) experts from MFDP to start learning about the rules and regulations and possible modalities around PPPs. It was agreed that the PMT continues the dialogue with the MFDP in order to ensure that the legal and regulatory framework

governing public private partnerships are followed and adhered to. (A Public-Private Partnership Policy and Implementation Framework” document was developed by MFDP in June 2009. It is critical that this document is thoroughly examined by the PMT).

ASSP staff regularly takes part in ISPAAD meetings in order to be able to follow and influence the programme. Inviting ISPAAD staff on ASSP field trips and key meetings as well as informal continuous dialogue to sketch out the roles, interactions and synergies between the two initiatives, for them to support and strengthen each other for the benefit of the farming community in Botswana is important.

An independent review of ISPAAD was foreseen in the design report (and in the ASSP AWPB), to review efficiency, impact and sustainability of ISPAAD and to find modalities for collaboration and options for improving the probability of sustainable impacts from both ISPAAD and ASSP. –In view of the review conducted by the Botswana College of Agriculture in 2012 a full-fledged review may not be needed. It is however, recommended that the PMT analyses the findings from the 2012 ISPAAD review, in order to assess if a smaller, focused review is needed, this time with emphasis on ISPAAD/ASSP collaboration and coordination, and with emphasis on analysing the impact of the new ISPAAD guidelines on small-scale farmers and on the guidelines’ impact on the Ministry’s drive to promote conservation agriculture. Alternatively: consider a consultancy or facilitated dialogue to analyse the interrelations and modalities of collaboration between ISPAAD and ASSP, to see how the two can reinforce each other and work together towards a sustainable smallholder agricultural sector.

Dedicated attention to using information and learning (from experiences) to make strategic and operational decisions, will help the Ministry strengthen its institutional capacity and effectiveness in serving the Botswana farming sector. Support to the implementation of an M&E/MIS system designed by FAO technical cooperation in 2005-07 was foreseen in the design report. However, there is a need to consider technological developments, institutional changes and the experience gained with national M&E/MIS systems in the agricultural sector during the years since this proposal was prepared. Also, there is a new initiative to prepare a proposal for an Information Management System (IMS) in the MoA, a concept similar to the M&E/MIS system but with ambitions to more broadly integrate existing systems with an M&E/MIS system for projects and programmes in the sector. It is therefore recommended to use ASSP resources to first identify and visit a country in the region where a similar system has been developed and is operating successfully; and in dialogue with FAO, to recruit a short-term specialist who can assist with developing a new proposal or updating the existing proposal in line with current needs and priorities. In doing this, it is furthermore recommended that attention is paid to the intention of the Ministry to become more learning-oriented and wanting to develop a ministerial-wide Knowledge Management and Learning (KM&L) System. The MoA has, via the regional IFAD-supported KM&L initiative for East and Southern Africa been exposed to the KM&L concepts and a ministerial KM&L workshop has been conducted and KM&L focal points identified. It is important that all initiatives to strengthen the Ministry’s M&E and information management capacity build on these initial initiatives and intentions.

Appendix 8: Planning, Monitoring and Evaluation (M&E)

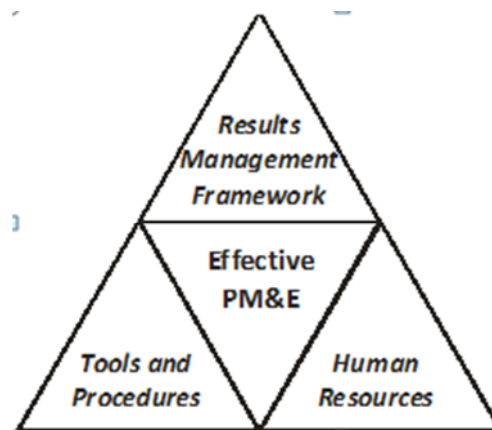
Three Pillars for Effective Planning, Monitoring and Evaluation

1. An initial assessment for a Planning, Monitoring and Evaluation (PM&E) systems for the Agricultural Services Support Project (ASSP) in Botswana has been carried out from 15-31 May 2013 in Gaborone, as part of the second Joint Implementation Support Mission to the project. This involved a detailed analysis of the project design and discussions with the Project Management Team (PMT), project implementers and in particular the M&E Officer, in order to sketch out the crucial elements of an effective PM&E system, and in order to get an overview of how such a system fits into an overall Knowledge Management and Learning system (KM&L) that is also to be developed for the project. The resulting proposed outline of PM&E systems is described in this report and presented schematically in Annex 1.

2. Effective PM&E requires the three pillars shown in Figure 4 to be in place:

- a clear results management framework that defines **what** needs to be planned for and what needs to be measured;
- **how** is data collected, recorded, transmitted, stored, processed and reported on, which requires clear procedures and effective, user-friendly tools;
- **who** does what, and what skills are required: a strong human resource base, involving adequate numbers of staff, clear division of responsibilities and capacity building in PM&E.

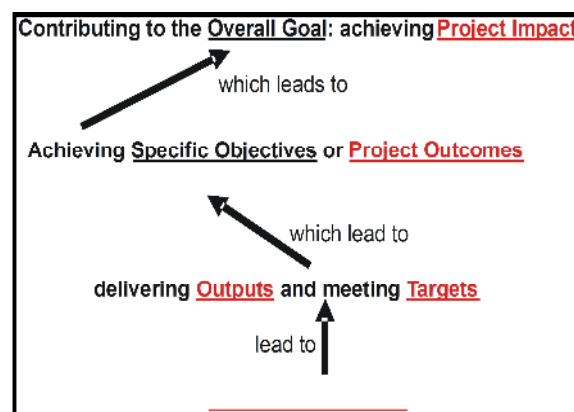
Figure 4. PM&E pillars



3. A well-defined results management framework is the basis for deciding what data needs to be collected. Tools and procedures must then be developed for data collection and data management. Finally, a decentralized system with clear division of responsibilities must be agreed on, followed by capacity building, to ensure the necessary skills are in place.

4. A good results management framework means having a clear and logical relationship between project implementation and the expected results of ASSP. The hierarchy of objectives or intervention logic of the project comprises four levels: activities are planned and resources are used to deliver outputs; delivering outputs leads to achieving project-specific objectives or outcomes; and these outcomes will result in project impact (Figure 5). The relationship between activities, intermediate results and higher level objectives must always be kept in mind, while planning at the beginning of each year, during implementation and progress monitoring throughout the year, and when analyzing outcomes and impact. PM&E systems are built around the basic structure of the logical framework, with tools and procedures for monitoring progress made with implementation of project activities; monitoring progress made with the delivery of project outputs; and tools and procedures for evaluation of project outcomes and impact.

Figure 5. Intervention logic or hierarchy of objectives



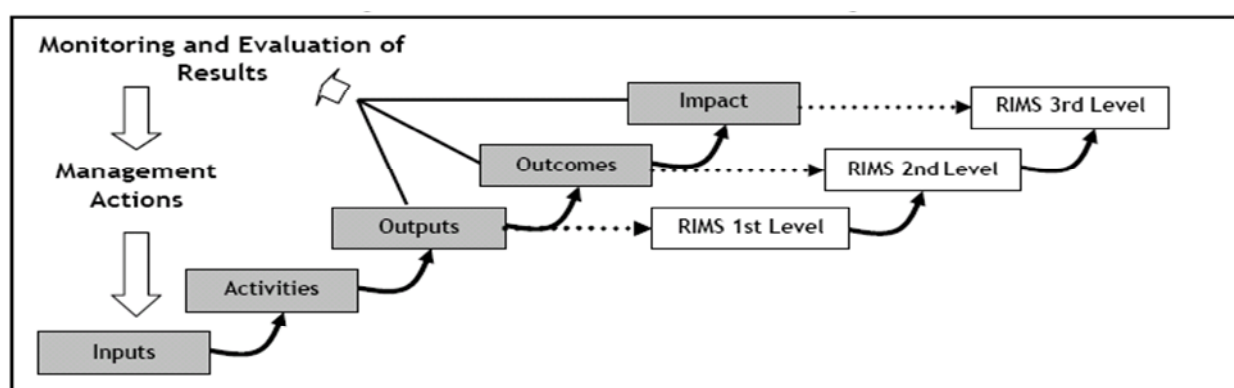
5. Simple and user-friendly tools are needed for data collection, data entry, data processing and analysis, and data utilization, which include management decision-making, report preparation and other ways to share/disseminate information. Standard forms and formats should be made available

to ensure consistency in the way data is recorded. These tools are needed at each of the four levels of the logical framework: activities and resources; outputs; outcomes; and impact.

6. Collecting and recording monitoring data, at activity and outputs level, should be a decentralized effort to the extent possible, carried out by field and senior staff of the MoA and other service providers. The PMT will do some data entry itself, but should primarily focus on facilitating the process. The principle is that “*to implement means to monitor*”, in other words, implementation goes hand in hand with continuous monitoring and recording basic facts as implementation takes place. Collecting and recording evaluation data, at objective/outcome level and goal/impact level, will be the responsibility of the PMT, and will be partly contracted out and partly done by the M&E Officer.

7. The ASSP PM&E systems should meet the information requirements of multiple stakeholders involved in implementation; should assist in decision making especially by project management; and should enable the project to meet reporting requirements to government and to IFAD in compliance with the Results and Impact Management System (RIMS). RIMS uses three levels of indicators: level 1 relates to project outputs, level 2 to project outcomes, and level 3 to project impact (Figure 6). A complete overview of RIMS indicators is presented in Annex 2.

Figure 6. Results chain and results-based management (IFAD)



Source: *Results and Impact Management System, RIMS, First and Second Level Results Handbook*, IFAD, November 2007.

8. Since the logical framework summarizes the project strategy and will play a key role in annual planning as well as in assessing results, it must clearly capture the essence and logic of the project. Review and modification of the logical framework is therefore an essential step at the start of the project and for developing PM&E systems, and this has been carried out jointly with the M&E Officer during the mission (see the revised Logical Framework elsewhere in this supervision report, and Annex 4-6 of this technical report).

Monitoring: Detailed Data and Aggregated Information

9. Consolidated Annual Work Plans and Budgets (AWPB), quarterly internal progress reports and full analytical annual reports¹⁶ for ASSP are to be prepared by the PMT. This means that PM&E data should be stored centrally at the offices of the PMT, which requires PM&E tools that facilitate decentralized collection, consolidation and central storage of **selected PM&E data** – not everything can or should be kept centrally.

10. **Supporting documents** for physical progress, such as ASC design documents and drawings; contracts; minutes; training curriculum; participant lists; details on irrigation scheme membership; utilization of mechanized services; field notes and other project-specific paper forms, can be compared to the invoices, vouchers, delivery notes, receipts that are the supporting documents for financial administration. These will be kept by the PMT itself, by MoA district offices, other service providers, and beneficiaries. Not all of these documents will be centralized.

¹⁶ The focus of this working paper is on physical progress, but progress reports also need to cover finances. Financial summary tables with analytical comments should be incorporated in half-yearly and annual reports, while additional financial reports (consolidated financial statements, audit reports) are to be submitted separately each year.

11. Supporting documents provide the details that are needed for **Monitoring Registers**, which contain **summary data** and aim to establish a historical record of basic facts and figures on project activities and results (annual and cumulative). These registers will contain **selected data** that is important to manage the project and prepare reports. It should be noted that development of project PM&E systems normally does not include forms and formats to monitor the operations of facilities and institutions that are established or supported under the project: ASCs, for example, should keep their own records of numbers of farmers assisted, while farmer groups should keep records of their own operations, membership and finances. However, such record systems will not be developed as part of the PM&E systems.

12. The data in the monitoring registers will be used to calculate totals for indicators, which will be presented in **physical progress summary tables** that show targets and achievements, both annual and cumulative. This approach is illustrated in Figure 7 for capacity building activities.

Figure 7. Monitoring data on training activities at different levels (an example)

Physical Progress Summaries with aggregated progress information including on project indicators

Component	Output	Indicator	Annual Target	Annual Result		Cumulative Target	Cumulative Result	
Sustainable agricultural production	Efficient agricultural mechanisation services available to smallholder farmers	Private machinery contractors trained	60	24 M 6 F	50%	300	58 M 19 F	26%
etc.								



Monitoring Registers (e.g. for training) with summarized information on each training result

Output	Indicator	Description	District	Start	End	Days	Trainer	Institution	Participants			Comments
									M	F	Total	
Efficient agricultural mechanisation services available to smallholder farmers	Private machinery contractors trained	Training on equipment operation and maintenance	Central	15 Jan 2014	30 Jun 2014	5	xxx	yyy	24	6	30	zzz
etc.												



Decentralized **supporting documents** (e.g. for training activities) with detailed information including:

Training curriculum / project overview
Training and demonstration materials, hand-outs
Participants lists
Evaluation forms, test results and observations by the trainer/facilitator
etc.

13. For ASSP, a set of Monitoring Registers is proposed that would be able to capture some 80-90% of key activities and result of the project, as defined in the project design¹⁷. These Monitoring Registers would allow for decentralized data entry of planned activities, monitoring data and evaluation data, and for consolidation, central storage, processing and report generation by the PMT.

¹⁷ Results mainly at output level, but also outcomes. Such registers are not useful to capture everything: some activities and results, those that happen ad hoc, infrequently or cannot be linked to indicators may have to be recorded manually on paper or in separate documents.

Monitoring: Activities and Resources Level

14. The focus here is at the lowest level of the logical framework, **activities and resources** (also referred to as inputs). **Physical progress monitoring** means tracking the **actual implementation of activities compared to what was planned**, and **financial progress monitoring** means tracking the **actual expenditure compared to budgets**. The starting point for monitoring at this level is **planned activities and budget data in the AWPB**. Monitoring of project resources also requires tools for preparing a **procurement plan**, for **contract management** and for keeping track of **project assets**.

15. Indicative project activities are described in the Project Design Report. However, actual activities are to be decided and elaborated during an annual planning process by different implementing agencies, and consolidated by the PMT in an overall AWPB. Selection of planned activities should be based on:

- the **design documents** (Project Design Report, Financing Agreement), which represent a broad guideline but not a blueprint for implementation;
- the agreed **project outputs** to be delivered;
- findings during analytical studies and consultations, including priorities that the project target group identifies during consultative meetings and workshops;
- **experience gained** during ASSP implementation: what works and what doesn't.

16. Over time, the role of the Project Design Report in determining ASSP activities will be reduced and be replaced by needs identified in dialogue with beneficiaries and other stakeholders, and experience gained during project implementation. The AWPB, including a Procurement Plan, should be approved by Government (PSC) and then submitted to IFAD. An approved AWPB is the basis for implementation during a project year. Amendments can be made but again require review and approval by Government and IFAD. **Quantitative monitoring** would focus on the extent to which planned activities have been completed and how much of the budget has been spent. **Qualitative monitoring** would focus on how well activities have been carried out and how efficient project resources have been used.

17. AWPB preparation has been a centralized exercise so far but will be a decentralized process starting from the 2014/15 AWPB, with the PMT and the districts preparing their own work plans, which are then shared, discussed and consolidated. Workshops that bring together main implementing partners and other key stakeholders would be useful as part of this process at least once per year, organized by the PMT.

18. Key considerations in developing PM&E systems at the level of activities and inputs are:

- consistency in formats used, to ensure data is complete and to facilitate comparison over time and between institutions;
- easy consolidation of decentralized plans into one consolidated AWPB of the project;
- both physical progress monitoring and financial progress monitoring, separate but with a link between the two.

19. The following tools are proposed for planning and physical progress monitoring at this level:

- **Planned Activities Register** – a table used during annual planning to record proposed activities, which will be included as an annex to the AWPB, together with budget details that can be used to calculate budget totals;
- **Activity Progress Register** – a table used throughout the year to add monitoring data to planned activities, which will be the basis for quarterly reports and will be included in annual reports as an annex.

Planned Activities Register

20. Details for each planned activity would be entered into a **Planned Activities Register** (see Figure 8) during the annual planning process. The PMT, districts and any other key implementing agencies would submit tabulated planned activities to the PMT, where the information would be reviewed and consolidated. Annual planning workshops would be used to share, discuss, improve and synchronize all the planned activities.

Figure 8. Example of a planned activities register (database setup)

Planned activities register										
Year: 2010		Support for input and output traders		Component: 1. Developing More Dynamic Market Intermediaries			Delete	Reports	Close	
Activity	Institution / person responsible	Q1	Q2	Q3	Q4	Unit	Target	Costcode	Area / location	Planning comments
Identification of traders and agro-dealers	COC	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	REP	1	11C11400	ANC Lilongwe village	Field assessment completed
Technical design to review and design trader manuals	PMU-SP	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	DOC	1	0000000	000	Consultant contracted and field work
Business devpt services for input and output agro-dealers	ANE	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	SES	4	0000000	MEC	Services contracted for field work

21. The PMT already has developed this kind of register for ASSP, as an Excel spreadsheet. The register contains planned activities with budget details, organized by component, sub-component and a third level heading such as *situational analysis of mechanization sector* (see Figure 9). It is recommended to use the same structure of components, sub-components and headings from year to year, to facilitate comparison. It would be possible to link the third-level headings to the design document, for example by using the headings in the cost tables (Working Paper 9, detailed cost tables), which is currently not the case. The activity “establish number of existing tractors and implements” in Figure 9 would then fall under the heading *Tractor rebuilding scheme* in Table 1.1 of Working Paper 9. This is not a necessity but it offers one advantage: the ability to compare budget sub-totals with the design document. The disadvantage is that it may further encourage use of the design document as a blueprint.

Figure 9. Current ASSP planned activities register

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
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1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80																				

22. The data fields that are currently used for planned activities in the spreadsheet are appropriate, they include: a code; description of the output/planned activities; where the activity will take place; a unit and target; in which quarters the activity will be implemented; and the person responsible. Budget details include a breakdown by quarter; financier (GoB or IFAD loan/grant); expenditure category; tax element; and budget comments. The spreadsheet has many columns and could be better organized, but is functional as it is. The budget details make it possible to prepare key budget summary tables such as total budget by (sub)component and quarter; total budget by component and financier; total budget by expenditure category and quarter; and total budget by expenditure category and financier.

23. Decentralized planning in the future could mean that districts use the same format to enter planned activities, and submit these to the PMT where they are consolidated. In a spreadsheet, this would be done by copying and pasting, which means the layout of the spreadsheets used must be the same. In a database setup, this would be done through data exchange between databases. The current spreadsheet could be improved by using various advanced Excel features such as tables, named ranges, preformatted cells/columns, protected sheets, data validation and dropdown lists, and it would be advisable to do this especially when multiple users will enter planned activities which are then consolidated.

Activity Progress Register

24. **The Activity Progress Register** would be used to enter status information for planned activities, on a continuous basis as implementation takes place during the year. Four pieces of monitoring data that would be added to each activity are shown in Figure 10. Planned activities with monitoring data could be submitted regularly by the various districts and service providers to the PMT, for review, consolidation and reporting. This data would be used for management purposes, to check progress, identify issues, and provide support or intervene where needed. The data would also be included in quarterly and annual reports as an annex listing all planned activities with progress data.

Figure 10. ASSP activity progress register (proposed data fields)

<i>Planned Activities Register</i>		<i>Activity Progress Register</i>	
description of the planned activity	➤ status	a <u>percentage</u> indicating the completion level (estimate by the implementer) of an activity (0-100% in increments of 10%)	
expected result / unit & target	➤ achievement	a <u>measurement</u> of what was really achieved, compared to the expected result (7 out of 11 training courses)	
planning comments	➤ monitoring comments	a <u>short description</u> elaborating progress made, problems encountered, action required	
	➤ action required	for activities that have encountered specific problems, indicating that there is a problem and that action/intervention is required	
budget		➤ expenditure	<i>actual expenditure incurred compared to the budget: details entered in ORACLE/spreadsheets</i>

25. The achievement is a measurement: for the activity *construction of ASCs* in the 2013/14 AWPB, the unit should be *number* and the target is 3, in Chobe, Central, and Southern Districts. Only when construction of the first ASC has been fully completed would the achievement be 1, until then it is 0. This is a correct approach, but an achievement of zero ASCs constructed is an unfair representation of progress made when, while none of the ASCs have been completed, two ASCs are about halfway complete while for the third ASC designs have been approved and construction has just started. The status therefore complements the achievement: it is a subjective estimate of the completion level of an activity, made by the person responsible for an activity, and using a percentage from 0-100%. In the ASC example described earlier, the *status* may be 60% while the *achievement* is still 0, and a month later the *status* may be 70% and the achievement 1 out of 3 ASCs completed. Monitoring comments are qualitative data, brief comments explaining in a few words how far an activity has reached, whether it is on schedule or not, etc. Action required is proposed as a yes/no field to highlight problem activities that are behind schedule, are stuck, are over budget, and will not be completed as planned unless management intervenes and specific action is taken. The activity *plot size determination* and many other activities under the *Pilot Scheme for Smallholder Wastewater Irrigation* in the 2013/14 AWPB are problem activities until the land ownership issue has been resolved. This progress information would be updated continuously, and would always show the latest status of activities: for the current year, where the activity has reached during the year; and for previous years, the situation at the end of the year.

26. This approach can be adopted immediately by adding four columns to the 2013/14 AWPB, as shown in Figure 11. Similar to decentralized activity planning, adding progress data to planned activity could also be decentralized: whoever is responsible for implementing an activity would also update progress information for that activity, for example monthly or whenever significant progress has been made. The M&E Officer would collect and consolidate the data on a regular basis, and it would be used by the PMT for management purposes and for reporting.

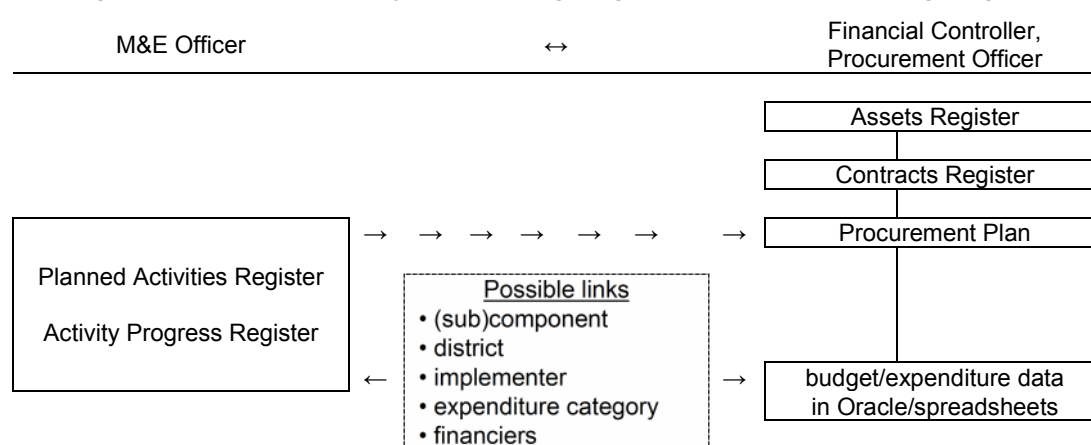
Figure 11. Current ASSP planned activities register with proposed progress data fields

Activity Vote Code	Outputs / Planned Activities	Where (Area of activity)	Target	Unit	When				Responsible Officer(s)	Progress				Quarterly	
					Q1	Q2	Q3	Q4		Achieve- ment	Status	Action Required	Comments	Budget Q1	Budget Q2
1	SUSTAINABLE AGRICULTURE PRODUCTION														
1.1	AGRICULTURAL MECHANIZATION														
1.1.1	Stakeholder Consultation and analysis														
	Component focus workshop (Agricultural Mechanization)	Parakarungu, Jwaneng, Tonota	3	Workshop	X	X	X		IO	2	80%	No	On schedule. Only Tonota workshop still to be done, planned for July, already fully prepared.		150,000

Financial Progress Monitoring: Expenditure and Resource Management

27. Expenditure details will be submitted separately as required and using formats specified by the Financial Controller, and would be entered in the financial software Oracle when it is operationalized for ASSP. Besides expenditure details, additional data needs to be kept on project inputs/resources, for which an Assets Register and a Contracts Register are required. The links between planned activities, budget details and implementation progress data in the PM&E system, and budget information and expenditure information in the financial management systems, are shown in Figure 12. It would be possible to try and capture expenditure for each individual activity by adding expenditure as a fifth piece of monitoring data, a fifth data column in Figure 11. However, experience in other projects suggest this is difficult in practice, partly because systems, persons involved and information flows are different for physical progress and financial progress, partly because expenditure such as stationary, fuel, allowances or a consultant, is often difficult to link to one specific activity.

Figure 12. Links between physical planning/progress and financial planning/progress



28. What is described above has some bias towards quantitative data, and this will have to be complemented by **qualitative monitoring**, which investigates how well activities have been carried out, how efficient project resources have been used, where and why there are problems, etc. In combination, quantitative data (facts and figures) and qualitative data (analytical comments) will be the backbone of good progress reports.

Monitoring: Project Outputs (Level 1 Results)

29. Project activities are planned and implemented in order to deliver outputs, through which the higher objectives of ASSP will be achieved (see Annex 3). Outputs are the **project deliverables** at the second lowest level of the logical framework: they can be "bought" when appropriate activities are selected and resources are used well. Outputs are relatively broad results of multiple activities. They

are also the **level of accountability** of ASSP: the direct results that the project has to show for money spent. Once outputs have been agreed on and targets have been set, the project is committed to those deliverables.

30. If the project intervention logic is sound and outputs are delivered, it is likely that higher level objectives will be achieved. The extent to which outputs are delivered needs to be checked on a regular basis, and should be reported in consolidated quarterly and annual reports. Indicators are used to measure the progress made with delivering project outputs, which should be linked to RIMS indicators to meet IFAD's data requirements. The six project outputs and intervention logic as defined in the Design Document have been discussed and are generally considered to be sound (see Table 2), only the wording of some outputs has been slightly edited. One output has been added for Component 3, to enable systematic reporting of management performance under this component together with the other two components.

Table 2. ASSP Outputs

<i>Component 1. Sustainable Agricultural Production</i>	
<i>Output 1.1 Efficient agricultural mechanisation services available to smallholder farmers</i>	
<i>Output 1.2 Improved rainfed agricultural practices adapted, tested and demonstrated</i>	
<i>Output 1.3 Pilot scheme for smallholder wastewater irrigation established</i>	
<i>Component 2. Enabling Environment for Smallholder Agriculture</i>	
<i>Output 2.1 Capacity to deliver extension services improved</i>	
<i>Output 2.2 Agricultural Service Centres constructed and equipped to provide stakeholder identified services</i>	
<i>Output 2.3 Core agricultural institutional framework re-focussed, and strengthened</i>	
<i>Component 3. Project Management</i>	
<i>Output 3.1 Effective project administration and coordination</i>	

31. The revised logical framework that was available at the start of the mission had a rather limited set of output indicators, some of which were project-specific, some of which were IFAD RIMS Level 1 indicators. For each component and output, the proposed indicators have been discussed. Considerable modifications have been made, and a full overview of revised output indicators is presented in Annex 4. As much as possible, the following considerations have been used:

- select a manageable number of relevant indicators;
- have indicators for which data can be recorded as part of implementation, without requiring separate tools or efforts to collect the data;
- have project-specific indicators and link these to IFAD RIMS Level 1 indicators where applicable.

32. The extent to which the outputs are delivered needs to be monitored: this involves **setting annual targets, quantitative assessment using the indicators, and qualitative analysis**. Cumulative targets for output indicators can be derived from the Project Design Report in some cases, for example, the fact that 15 ASCs are to be designed, constructed and equipped. Annual targets for output indicators should be defined during AWPB preparation. Quantitative data on output indicators should be collected, while the delivery of outputs should also be assessed from a qualitative perspective, to check the quality of implementation, the performance of implementing agencies, and to better understand the results.

33. Progress monitoring at the level of project outputs should not be a separate process with separate activities that are carried out just to measure indicators. Instead, **monitoring should be integrated with implementation** as much as possible. For this reason, the quantitative indicators are mostly proxy indicators that are simple to measure. For example, output 2.1 is about improved capacity to deliver extension services, whereas the indicators mostly report numbers of people trained: this is not the same but is easier to measure. Actually measuring increased capacity achieved through training would involve standardized testing of trainees, visiting staff, agro-dealers and village-based agents afterwards to ask what they remember having learned during training, and observing whether they are able to put new knowledge or skills into practice. This is an important difference, which underscores the importance of qualitative analysis in addition to quantitative indicators: some staff members, agro-dealers and village-based agents should be visited to check in detail what they have learned and are doing differently as a result, and the findings should be written up as **qualitative information that complements the indicators**.

34. Data related to output indicators should be recorded on a continuous basis by each service provider and implementing agency, as well as the PMT. It is important to **clearly define who** would be involved in collecting, recording and submitting such data: this has been discussed to a limited extent, since the implementation arrangements for ASSP are still evolving. On-going data collection and data entry on the delivery of outputs would be an essential element of the overall PM&E systems of ASSP.

35. Details related to output indicators would be recorded using standard formats for recording output-related data, referred to as **output monitoring registers** (see Annex 1). Which registers to use is determined by carefully analysing the project design and identifying the major areas of intervention. For each major area of intervention, an output monitoring register is then developed to record basic data throughout the life of the project. For ASSP, the following output monitoring registers are proposed:

- an Institutions Register, for data on all key institutions involved in the project or delivering services
- a Farmer Group/Cluster Committee Register, for data on farmer groups supported by the project;
- a Training Register, for data on all capacity building activities/results;
- a Structures and Facilities Register, for data on ASCs and other facilities used to deliver services;
- a General Register, for any results and indicators that do not fit in the above.

36. The principle of these registers has been illustrated in Figure 7 for the Training Register: supporting documents with details are kept at field level and by project implementers; selected key data is entered in the monitoring registers; and this data is used by managers to check results, and to calculate totals for indicators which are presented in physical progress summary tables and to submit RIMS data to IFAD.

37. The standard formats can include 'paper forms' in MS-Word, and equivalent templates to enter data in a spreadsheet or database. When data is recorded consistently, ASSP will be able to:

- quickly generate summary reports that show the overall progress made at the level of outputs, as well as results achieved for one area of intervention, such as training;
- easily access the details of one particular activity/result, to check the status and whether any issues need to be addressed;
- over time, use the historical overview that is thus created of efforts made and indicator-based results, to analyse performance and share the information with other stakeholders.

38. Designing the output monitoring registers involves defining key data the project would like to record, and then designing the templates for capturing that data. Capacity building is a key activity under ASSP, and will be taken as an example. Capacity building can take different forms, such as short formal training courses, workshops/seminars, Business Development Services (BDS) as on-the-job coaching, study tours/exchange visits, demonstrations. In each case, however, the key data is the same and would be recorded in a **Training Register**, for which *number of participants* in relation to a training indicator is the key result. The data that could be recorded in this monitoring register is shown in Table 3.

Table 3. ASSP Training Register (proposed Data Fields)

•	Output – a dropdown list with outputs, to select which project output the training contributes to.
•	Indicator – a dropdown list with project indicators related to training.
•	Short description of the activity. Title or short description of the capacity building activity.
•	Number of activities. Usually one, but it is possible to capture multiple activities in one record.
•	Description of participants – description of who participated (e.g. agro-dealers, where they came from, etc.).
•	Men / Women – the number of men and women who completed the activity.
•	Youths / non-youths – the number of youths and over 35 years olds who completed the activity.
•	Start date.
•	End date –date the activity was completed.
•	Duration (days) – the number of days a training course, workshop, study tour took.
•	Where (in which district) the activity took place.

• Venue/destination – where exactly the training or workshop took place, the study tour went to, etc.
• Service provider – the institution that organized or carried out the activity.
• Lead trainer/facilitator – the main person who conducted or facilitated the activity (more than one name can be entered, but space is limited).
• Details and comments. Background information on the capacity building activity, related to the participants, the performance of the trainer, the actual learning effect, etc.

39. Data collection for the Training Register could involve paper forms that can be filled in the field; a Word document that can be filled at district level or by a service provider who has access to a computer; and online forms that can be sent, filled out and returned via email using a tool such as Google Forms. Whatever tools are selected, at some point the data would be entered in the Training Monitoring Register, which could be spreadsheet-based or part of an M&E Database (see Figure 13).

40. The data kept in the Training Register would be used to prepare reports that list capacity building results, for one indicator, under one output, or in one district; and to calculate totals on various project-specific and RIMS indicators (see Table 4) for indicator-based summary reports.

Figure 13. Output monitoring data collection

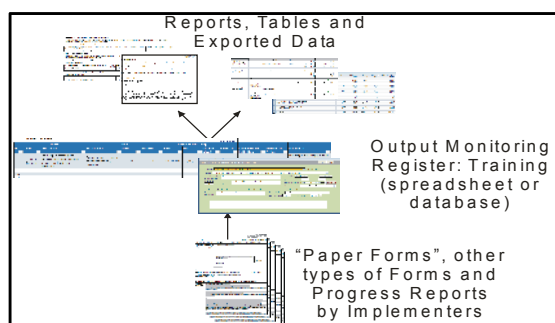


Table 4. ASSP output Indicators linked to the Training Register

Indicator	RIMS level 1 indicator
Private machinery contractors trained	Staff of service providers trained
Private machinery contractors provided with Business Development Services	People trained in business and entrepreneurship skills
Mechanisation officers trained on agricultural equipment and farm operations	Government officials and staff trained
Private contractors trained on agricultural equipment and farm operations	Staff of service providers trained
SMSs, ADs and lead farmers trained in improved crop production technologies	Government officials and staff trained
Farmers exposed to improved crop production methods at demonstration plots	People trained in crop production and technologies
Farmers trained in conservation agriculture	People trained in crop production and technologies
People trained in irrigation scheme management	People trained in infrastructure management
Farmers trained in irrigated crop production	People trained in crop production and technologies
Farmers trained post-harvest handling / marketing of irrigated crops	People trained in post-production, processing and marketing
SMSs and ADs trained in extension methodologies	Government officials and staff trained
Agro-dealers trained	Staff of service providers trained
Village-based agents trained	x

41. It would be possible to generate three types of reports using the data in the Output Monitoring Registers: (i) summary reports; (ii) intermediate reports; (iii) detailed reports. **Summary reports** would present targets and results for indicators: for example, “*private machinery contractors trained*” for which there would be an *annual target* for a specific project year, an *annual result*, a *cumulative target* to be achieved by the end of the project, and a *cumulative result* from the beginning of the project to where it has reached. **Intermediate reports** would provide summarized information followed by lists of supporting data: for example, in the case of training and the indicator “*Farmers trained in conservation agriculture*”, a table would be included listing all the training activities that have been entered in the *Training Register* under this indicator. **Detailed reports** would present detailed information on one particular item: one training or workshop or study tour or demonstration.

42. The **summary report** shows limited data for all output indicators. If needed, more information regarding one indicator could be obtained from an intermediate report, which would list results under

an indicator, for a certain period and with selected data. To obtain yet more specific information, a detailed report for one specific result would be used. The **summary report or physical progress summary table** has a standard format that has long been used by IFAD projects, is also included in supervision reports and should be included by the project in annual reports. It has been provided to the M&E Officer as an Excel spreadsheet (see Figure 14) with all output indicators already filled. Data including cumulative targets (at the end of the project), annual targets, cumulative results and annual results must be added as they become available.

Figure 14. Physical progress summary table: output indicators with targets and monitoring results

ASSP Physical Progress Summary 2013/14								
Indicator	Unit	Annual target	Annual result	%	Appraisal target	Revised target	Cumulative result	%
Component 1. Sustainable Agricultural Production								
Output 1.1 Efficient agricultural mechanisation services available to smallholder farmers								
Government-owned tractors/implements sold or leased to private machinery contractors	number	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Private machinery contractors trained (RIMS: Staff of service providers trained)	men	45	0	0%	n.a.	n.a.	0	n.a.
	women	15	0	0%	n.a.	n.a.	0	n.a.
Private machinery contractors provided with Business Development Services (RIMS: People trained in business and entrepreneurship skills)	men	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	women	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Private machinery operators accredited	men	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	women	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Demonstrations with improved mechanized agricultural equipment	number	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Demonstrations with improved animal-drawn agricultural implements	number	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Mechanisation officers trained on agricultural equipment and farm operations (RIMS: Government officials and staff trained)	men	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	women	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Private contractors trained on agricultural equipment and farm operations (RIMS: Government officials and staff trained)	men	n.a.	0	n.a.	112	112	0	0%
	women	n.a.	0	n.a.	48	48	0	0%
Output 1.2 Improved rainfed agricultural practices adapted, tested and demonstrated								
Adaptive research trial sites established	site	n.a.	0	n.a.	70	70	0	0%
Adaptive research trials conducted	trial	n.a.	0	n.a.	260	260	0	0%
Adaptive research reports produced	number	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
SMSs, ADs and lead farmers trained in improved crop production technologies (RIMS: Government officials and staff trained)	men	n.a.	0	n.a.	76	76	0	0%
	women	n.a.	0	n.a.	32	76	0	0%
Demonstration plots established in the project area	number	10	0	0%	30	30	0	0%
Crop demonstrations conducted at demonstration sites	number	n.a.	0	n.a.	115	115	0	0%
Farmers exposed to improved crop production methods at demonstration plots (RIMS: People trained in crop production and technologies)	men	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	women	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	persons 35 years old or below	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Farmers trained in conservation agriculture (RIMS: People trained in crop production and technologies)	men	n.a.	0	n.a.	5400	5400	0	0%
	women	n.a.	0	n.a.	3600	3600	0	0%
	persons 35 years old or below	n.a.	0	n.a.	3600	3600	0	0%
Output 1.3 Pilot scheme for smallholder wastewater irrigation established								
Smallholder farmers to whom land in the pilot scheme has been allocated (RIMS: People in groups managing infrastructure formed/strengthened)	men	14	0	0%	70	70	0	0%
	women	6	0	0%	30	30	0	0%
	persons 35 years old or below	6	0	0%	30	30	0	0%
Developed irrigable area in the irrigation scheme (RIMS: Land under irrigation schemes constructed/rehabilitated)	Ha	n.a.	0	n.a.	29	29	0	0%
People trained in irrigation scheme management (RIMS: People trained in infrastructure management)	men	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	women	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	persons 35 years old or below	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Farmers trained in irrigated crop production (RIMS: People trained in crop production and technologies)	men	n.a.	0	n.a.	n.a.	70	0	0%
	women	n.a.	0	n.a.	n.a.	30	0	0%
	persons 35 years old or below	n.a.	0	n.a.	n.a.	30	0	0%
Farmers trained post-harvest handling / marketing of irrigated crops (RIMS: People trained in post-production, processing and marketing)	men	n.a.	0	n.a.	n.a.	70	0	0%
	women	n.a.	0	n.a.	n.a.	30	0	0%
	persons 35 years old or below	n.a.	0	n.a.	n.a.	30	0	0%
Component 2. Enabling Environment for Smallholder Agriculture								
Output 2.1 Capacity to deliver extension services improved								
SMSs and ADs trained in extension methodologies (RIMS: Government officials and staff trained)	men	63	0	0%	n.a.	n.a.	0	n.a.
	women	27	0	0%	n.a.	n.a.	0	n.a.
Additional ADs recruited and mobile	men	n.a.	0	n.a.	35	35	0	0%
	women	n.a.	0	n.a.	15	15	0	0%
Ratio of farmers per extension worker reduced	farmers per AD	n.a.	n.a.	n.a.	500	500	0	0%
Agro-dealers trained (RIMS: Staff of service providers trained)	men	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	women	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Village-based agents trained	men	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	women	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Output 2.2 Agricultural Service Centres constructed and equipped to provide stakeholder identified services								
ASCs established	Number	3	0	0%	15	15	0	0%
Cluster management committees established / supported	Number	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Enterprises servicing smallholder farmers operating from ASCs	Number	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Output 2.3 Core agricultural institutional framework re-focused and strengthened								
Changes made to ISPAAD operations / services as a result of the ASSP-supported comprehensive review	Number	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Farmers benefitting from new land allocations	men	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	women	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
	persons 35 years old or below	n.a.	0	n.a.	n.a.	n.a.	0	n.a.
Component 3. Project Management								
Output 3.1 Effective project administration and coordination								
Key consultative stakeholder workshops held	Number	n.a.	0	n.a.	6	6	0	0%
Study and survey reports produced	Number	n.a.	0	n.a.	7	7	0	0%
Project expenditure compared to budgets	BWP ('000)	25 360	0	0%	165 140	165 140	0	0%
AWPBs, annual reports and audit reports submitted on time	Number	n.a.	1	n.a.	15	15	0	0%

Evaluation: Project Objective and Outcomes (Level 2 Results)

43. Measuring project outcomes means answering the “so what?” question: what are the improvements and benefits that follow the implementation of project activities and delivery of outputs? Outcomes typically concern the utilization of, and benefits derived from outputs: the project provides capacity (improved extension knowledge and skills, ASCs, better organized cluster committees) – how are these used and what difference do they make? Assessing outcomes means analysing changes in the attitude and behaviour of households and individuals (e.g., whether people use more mechanised services); changes in productivity and profitability (e.g., increased yields of maize, sorghum and millet); and changes in efficiency and effectiveness of service delivery and support systems (e.g., farmers’ satisfaction with services available from extension and ASCs). Various methods can be used for measuring these changes, including studies, participatory approaches, questionnaire-based surveys, focus group discussions, etc.

44. The **Development Objective** of ASSP is: *to achieve a viable and sustainable smallholder agricultural sector based on farming as a business, and not reliant on subsidies or welfare measures.* The two project outcomes are: (i) *sustainable increase in smallholder agricultural productivity*; and (ii) *favourable enabling environment for smallholder agricultural development.* The project objective and outcomes will be achieved if: (i) the intervention logic of the project is sound; (ii) delivery of outputs is effective (see Annex 3). It will take time before outcomes will become visible, and attempts to measure results at this level should not take place until after three years of implementation, for ASSP by the end of year three (2014/15) at the earliest. After that, the information should be updated annually.

45. IFAD has introduced a new approach for assessing results at this level. Level 2 Results are now included in the IFAD RIMS framework in the form of **assessments**. These look at the extent to which project activities are successful in reaching their expected results – **assessment of effectiveness** – and at the extent to which the benefits of project initiatives are likely to be sustainable after the end of project support – **assessment of sustainability**. Rating scales are used to report achievement of Level 2 Results: a score of 1 corresponds to highly unsatisfactory effectiveness or very weak sustainability, while a score of 6 indicates highly satisfactory effectiveness or very strong sustainability (see Annex 2). Level 2 Results should be given a rating by the project and should reflect a realistic assessment of the results using quantitative support indicators and qualitative analysis.

46. The Level 2 Results and indicators shown in Table 5 are proposed for ASSP (see Annex 5 for more details). For each Level 2 Result, quantitative data on supporting indicators would be collected during the baseline survey and the completion survey. Small sample surveys could be used to collect data on the support indicators annually, at the end of year 4 and maybe also at the end of year 3, depending on how quickly activities on the ground get underway. “Service providers” in Table 5 refers to the advisors (extension services, other trainers) and local market operators (input suppliers, tractor service providers, traders, processors) that farmers and their groups deal with.

Table 5. Proposed RIMS Level 2 Results and Supporting Indicators for ASSP

Development objective: to achieve a viable and sustainable smallholder agricultural sector based on farming as a business, and not reliant on subsidies or welfare measures
RIMS Level 2 result. Likelihood of sustainability of productive infrastructure - Irrigation schemes (rate 1-6)
Proportion of irrigation farmers who have paid their dues/contributions
Outcome 1. sustainable increase in smallholder agricultural productivity
RIMS Level 2 result. Effectiveness: improved agricultural, livestock and fishery production (rate 1-6)
Average yield for rainfed crops (maize, sorghum, millet) among target households
Proportion of target households reporting yield increase for rainfed crops
RIMS Level 2 result. Effectiveness of productive infrastructure - Irrigation schemes (rate 1-6)
Total area cropped and harvested in the irrigation scheme
Outcome 2. favorable enabling environment for smallholder agricultural development.
RIMS Level 2 result. Effectiveness: improved performance of service providers (rate 1-6)
Proportion of target group farmers adopting technologies recommended by the project
Proportion of farmers using hired mechanized services
Cropped area covered using mechanized services
Cropped area under conservation agriculture
Farmers using ASC-based services
Proportion of rainfed farmers satisfied with available agricultural services
Proportion of irrigation farmers satisfied with available services

47. In principle, all the support indicators used should capture **performance** in one way or another. This is different from output indicators that capture project deliverables. The selected indicators would measure several important trends that one would expect to see when ASSP is successful. The data collected on these indicators would be used to decide which ratings to give to the RIMS Level 2 Results. These ratings, together with qualitative analysis, would be captured in an **Outcomes Register**. The proposed data to be captured in such an Outcomes Register are shown in Table 6. The M&E Officer will be responsible for organizing annual data collection on the performance indicators, for carrying out qualitative analysis (thematic studies, collecting data for case studies), for entering the data and for calculating totals. The PMT would jointly decide on the annual ratings for the Level 2 Results. The information would be used for management purposes, and in half-yearly and annual progress reports.

Table 6. Outcomes Register – Data Fields

Data Field	Contents
outcome	the project objective
level 2 result	IFAD level 2 result rated under the objective/outcome
rating	rating on 1-6 scale
support indicator1	reference to an outcome indicator in the logical framework that supports the rating given to the Level 2 Result
indicator2	reference to a second supporting performance indicator
indicator3	reference to a third supporting performance indicator
indicator4	reference to a fourth supporting performance indicator
etc.	
comments	comments, elaboration, qualitative data for the level 2 result

Evaluation: Overall Goal and Project Impact (Level 3 Results)

48. The **goal** of ASSP (also called overall goal, while results at this level are called project impact, and in IFAD terminology, third level results), is not something the project would achieve exclusively, but is something it would contribute to over time, jointly with other projects, programmes and government services. The essence is to **reduce rural poverty and food insecurity** and this should be measured, either directly or indirectly.

49. IFAD uses RIMS anchor indicators that each relate to a specific Millennium Development Goal (MDG), to measure impact or third-level results. Two mandatory IFAD anchor indicators should be measured by each project: (i) *Increase in social and productive assets of rural households* and (ii) *Reduction in prevalence of child malnutrition*. Tracking child malnutrition involves anthropomorphic measurements (weight and height) of children in target group households. Another RIMS impact indicator is on food security. During an IFAD RIMS implementation support mission in June 2012, it was apparently agreed to conduct a “RIMS plus” baseline survey, to collect baseline data for impact indicators as well as outcome indicators. In light of the project goal the three indicators mentioned above are relevant and it is proposed to use them as the core impact indicators for ASSP (see Annex 6):

- *Reduction in prevalence of child malnutrition* (RIMS indicator): over a large sample of households, increased crop output and income from crops would result in improved nutrition for the entire household and especially for children, through an increased food stock and capacity to buy food if necessary. Over time chronic malnutrition, which reflects deprivation over a period of months or years, would reduce for children in target group households.
- *Rural households with improvement in asset ownership* (RIMS indicator): over a large sample of households, increased income would show an increase in asset ownership, because people invest in household/productive assets;
- *Households for which food security has improved* (RIMS indicator): over a large sample of households, increased income would show increased food security due to an increased capacity to buy food if necessary, and a reduced prevalence/duration of the ‘hungry season’.

50. The extent to which ASSP has achieved project impact, would thus be assessed using these three quantitative indicators. Quantitative data on higher level results would normally be collected using a large sample survey at three points during the life of the project: baseline/benchmark, mid-term and completion. In the case of ASSP, which has started up slowly, has no results on the ground

yet and less than four years until project completion, only two surveys representing a baseline and project completion situation is recommended.

51. In addition, smaller sample surveys could be used annually from year 3 or year 4 onwards, to collect data on outcome indicators that support Level 2 Results. Qualitative analysis would complement the quantitative indicator-based data at outcome and impact level. This type of analysis would focus on: (i) investigating problems and unexpected quantitative results (e.g., *why is the proportion of farmers using hired mechanized services much lower among beneficiaries in Ngamiland and Kweneng compared to the other districts*); (ii) illustrating what is behind the numbers (e.g. *the yield levels are increasing for maize, sorghum and millet but at different rates* - a study can try to explain what key factors are driving the yield increases; (iii) present the “human face” of the project results, by illustrating how individual farmers have managed to improve their production as a result of project interventions, and how their households have benefitted.

52. Qualitative analysis would also be used to analyse the extent to which women and youths participate in and benefit from different project components, and the reasons why if their involvement falls below expectation. Similarly, qualitative analysis could include selected case studies that would demonstrate how and to what extent particularly poor households are benefitting.

53. A baseline survey must be carried out as a matter of urgency. Enough is known at this point to do this: the geographic coverage has been well defined in terms of EAs and ASCs, the target group has also been well defined and selection criteria have been agreed on, therefore farmers who represent the target group can be selected and interviewed.

54. The starting point for the sample would be the 30 clusters of 30 farmers/households mentioned in the RIMS guidelines. However, disaggregation of results is necessary for ASSP. This and other reasons may require the sample size to be modified. The following should be considered.

- (i) Disaggregation by sex. Ensure the sample of households includes at least 40% women farmers in line with the targeting strategy, and record sex of the respondent on the questionnaire. When analyzing the baseline survey results, and future impact findings, the analysis should use this data to disaggregate, and results in reports should be presented for men, women, and all farmers/beneficiaries.
- (ii) Disaggregation by age group. Record whether the respondent is a youth (18-35 years old) or a non-youth (older than 35) on the questionnaire. When analysing the baseline survey results, and future impact findings, the analysis should use this data to disaggregate by age group.
- (iii) IFAD, as well as the ASSP design, has a particular interest in extending benefits to poorer farmers. Disaggregation by poverty strata should therefore be attempted. One way in which this can be done is, when a cluster has been selected, to list the sample frame households by name, and carry out a wealth ranking exercise with community leaders (define wealth/poverty groups and their characteristics; put people in those groups), then select proportional numbers of household to be interviewed from each group, and record the poverty status of the respondent on the questionnaire. However, this makes the survey much more complicated. Another way is to use normal random selection of households to be interviewed, and to carry out stratification during analysis of the survey results, using the impact indicators¹⁸ to determine which of the sample households fall into which quintile¹⁹, and presenting results on indicators by quintile (the poorest 20% to the best-off 20%) as well as for all farmers.

55. As an example, this means baseline survey results could be presented as shown below. Such detailed tables can be included in annexes, but more summarized tables and conclusions in a main report should refer to such more detailed tables. The baseline and impact survey reports should include such tables with absolute numbers, together with sample size. All other calculations (percentages, before/after comparisons) and conclusions can follow from such tabulated data²⁰. If this

¹⁸ Using an index based on the monetary value of assets owned would be a relatively easy way to do this.

¹⁹ Quintiles are commonly used, but dividing into four groups (quartiles) or three groups (terciles) would also be possible.

²⁰ For example: based on the table shown, another table with percentages can be prepared. When a total number of beneficiaries is known at the time of impact assessment, the table with percentages can be used to prepare a table with absolute numbers of beneficiaries and their baseline situation on food security. The same can be done for impact data on

type of basic data is missing, it will often be impossible to go ‘back to basics’ in the future and do analysis.

Table 7. Example of presenting indicator data: *Households for which food security has improved* (baseline)

n = 870	Number of households that did not experience a hungry season	Number of households that experienced one hungry season	Number of households that experienced two hungry seasons	Average length of the hungry season (months) for household that experienced one	Total
All households	303	422	145	2.7	870
Men farmers	182	205	63	2.5	450
Women farmers	121	217	82	2.9	420
Total (check)	303	422	145	2.7	870
Youth Farmers	112	197	87	3.1	396
Non-youth	191	225	58	2.4	474
Total (check)	303	422	145	2.7	870
Poorest quintile	10	104	60	3.7	174
Second quintile	47	99	28	3.1	174
Third quintile	72	81	21	2.6	174
Fourth quintile	81	66	27	2.1	174
Fifth quintile	93	72	9	1.9	174
Total (check)	303	422	145	2.7	870

Note: one can imagine, in impact survey reports, to find the same table format with additional columns where the data from a subsequent survey is presented, and the differences.

56. Two-stage sampling would be used, as follows. Assume a total sample of 900 households. If EAs located in ASC catchment areas and other EAs each are given equal importance, this would mean randomly selecting 15 out of the approximately 50 EAs located within ASC catchment areas, and randomly selecting 15 out of approximately 100 EAs covered by ISPAAD but not located within ASC catchment areas. For each EA the sampling frame would be all farming households that meet beneficiary selection criteria, from which 30 would be randomly selected. For more details on the sampling approach see Practical Guidance for Impact Surveys, IFAD, January 2005 – February 2011 available at <http://www.ifad.org/operations/rims/>.

Way Forward

57. The PMT can start immediately using at least part of the PM&E systems outlined in this document. The intervention logic is clear and progress has been made with defining appropriate output, outcome and impact indicators that are relatively easy to use. The link between project-specific indicators and RIMS level 1 indicators and RIMS level 2 result statements has been strengthened. The baseline survey can in principle start on this basis, to collect quantitative data on outcome and impact indicators, and TOR have been prepared. Progress data can be added to planned activities from now on, by simply adding the columns shown in Figure 11.

58. A centralized system, where the PMT carries out all PM&E activities, is neither feasible, since there is only one M&E Officer, nor desirable, since it reduces the involvement and ownership of other stakeholders. A decentralized system for PM&E will require the active involvement of multiple stakeholders: beneficiaries, extension staff, private service providers, and the PMT. During annual planning, district institutions and service providers should contribute to planned activities, which are then shared, reviewed, discussed, modified if needed, and consolidated in an overall AWPB. Monitoring will involve data collection, data entry and onwards transmission of data by these same stakeholders. To properly coordinate this approach M&E focal persons, who will work hand in hand with the M&E Officer, should be selected and trained in each district.

food security: a table with sample data, a table with percentages, a table with total absolute numbers. Finally, comparisons and conclusions can then be made using the baseline and impact data tables.

59. The M&E Officer will have to provide the necessary oversight and technical support on all aspects related to PM&E, and to all project implementers, which includes the following:

- providing appropriate tools and procedures for data collection, data entry and data transmission;
- offering on-the-job training and backstopping to everybody involved in planning and monitoring;
- ensuring that tools are used and procedures are adhered to;
- organising events for discussion and information sharing;
- organising qualitative data collection and analysis to complement quantitative data;
- organising and carry out field verification to confirm the accuracy and reliability of monitoring data;
- consolidating planning and monitoring data, check and analyse the data, and use the data to prepare draft consolidated work plans, analytical reports and progress reports;
- disseminating information and reports to government, project financiers, service providers, implementing partners and beneficiaries;
- organising data collection at the level of higher objectives (outcomes and impact), both quantitative data (baseline and impact surveys) and qualitative data.

60. Establishing the system for output monitoring would involve the following:

- define the data to be recorded in each of the proposed output monitoring registers, as already done for the Training Register (see Table 3);
- design templates for these registers, which can include paper forms, pre-formatted spreadsheets or a database setup where results information can be entered and linked to output indicators;
- provide these templates to district level institutions, service providers and any national implementing agencies for recording key data on project results as they implement
- agree on a schedule for submitting this data to M&E focal points at district level and the M&E Officer in the PMT;
- the PM&E Officer should regularly review the output monitoring registers, discuss with the PMT, seek clarifications and elaboration, and organize field visits, feedback and management support as needed.

61. The PM&E Officer should separately organise for the collection of qualitative data (thematic analysis, assessment of effectiveness, case studies) related to project outputs. The PM&E Officer would analyse progress with implementation and delivery of outputs, and would use the data in the output monitoring registers to calculate totals for output indicators. This information would be used to prepare the narrative in quarterly and annual reports, to update the physical progress summary table, and to submit data on RIMS indicators to IFAD annually.

62. Planning and monitoring registers at activity and output level can be “low-tech”, using paper forms and spreadsheets. The advantage of this is higher flexibility, easy modification of data fields, structure and formats while still achieving some consistency in data, the ability to compile data from different service providers and implementing agencies, and some analytical capability (selecting, sorting, calculating totals). The disadvantage is that these operations are carried out manually while analytical and reporting capabilities are limited. Alternatively, the tools can be “high-tech”, typically in a database or using standard PM&E software. The advantage of this is more powerful tools for compilation of data, analysis and generating reports, and the possibility to make operations automatic. The disadvantage is that there is less flexibility once a structure has been created and data has been entered, and that any modifications require specialist assistance. For ASSP, which has a relatively simple design and implementation arrangements, and less than four years of implementation remaining, investment in a “high-tech” database solution does not seem appropriate, and instead using pre-formatted Excel spreadsheet, and making use of various advanced Excel functions, including database-type functions, is recommended. Designing the tools especially for output monitoring is an important task and next step.

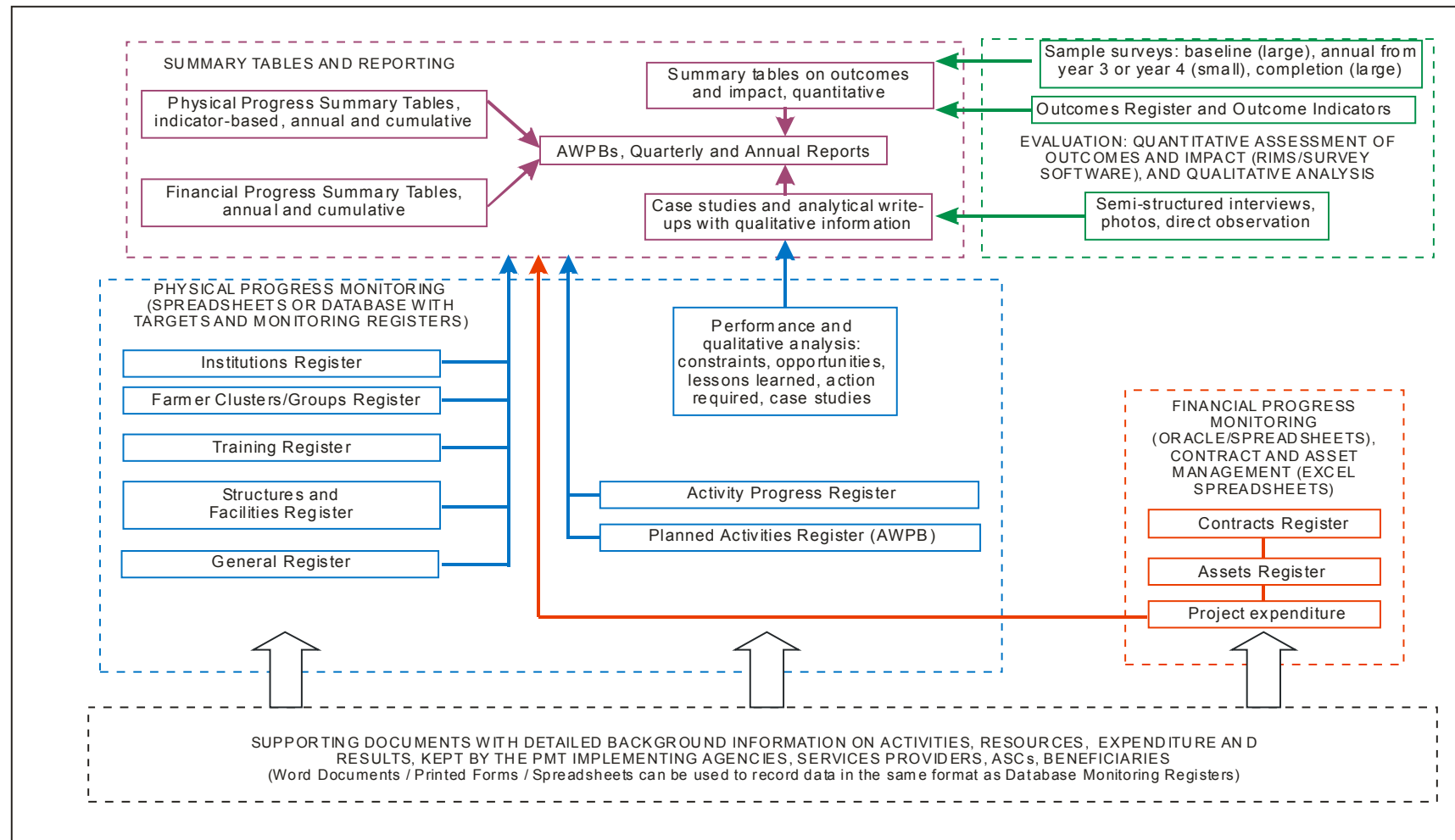
ASSP Logical Framework (2013 revision)

Narrative Summary	Verifiable Indicators (disaggregated by sex and capturing youths where possible)	Means of Verification	Assumptions/Risks (as per Project Design Report)
Project Goal			
To contribute to economic diversification, reduction of rural poverty and food insecurity, and improved livelihoods of rural communities.	1. Reduction in prevalence of child malnutrition (%) 2. Increase in social and productive assets of rural households (household asset index) (%) 3. Households for which food security has improved (%)	RIMS quantitative baseline survey in year 2, impact survey at completion in year 5. Complemented by qualitative analysis / household case studies.	x
Development Objective			
Achieve a viable and sustainable smallholder agricultural sector based on farming as a business, and not reliant on subsidies or welfare measures.	1. Increase (in real terms) of average household income from crops sold (%) 2. Average value (in real terms) of subsidized inputs received by target group farmers (BWP) 3. Proportion of irrigation farmers who have paid their dues/contributions (%)	Indicator 1 & 2: additional questions added to quantitative RIMS baseline and impact survey. Annual survey (smaller sample) of benefitting farmers in year 4 and possibly also in year 3. Complemented by qualitative analysis / household case studies. Indicator 3: irrigation scheme records. Complemented by detailed study on pilot scheme covering crops grown, areas, production, sales, costs, health issues.	Significant number of rural youth take advantage of opportunity to take up farming as a business. Government creates a conducive policy environment for agricultural development Farmers adopting new technologies.
Project Outcomes			
Outcome 1. Sustainable increase in smallholder agricultural productivity.	1. Average yield for rainfed crops (maize, sorghum, millet) among target households (kg/ha). 2. Proportion of target households reporting yield increase for rainfed crops (%). 3. Total area cropped and harvested in the irrigation scheme (ha).	Indicator 1 & 2: additional questions added to quantitative RIMS baseline and impact survey. Annual survey (smaller sample) of benefitting farmers in year 4 and possibly also in year 3. Complemented by qualitative analysis / case studies. Indicator 3: irrigation scheme records (note: can exceed scheme area due to double cropping)	Absence of prolonged (multi-year) drought periods in next 10 years.
Outcome 2. Favourable enabling environment for smallholder agricultural development.	1. Proportion of target group farmers adopting technologies recommended by the project (%). 2. Proportion of farmers using hired mechanized services (%). 3. Cropped area covered using mechanized services (ha). 4. Cropped area under Conservation Agriculture (ha). 5. Farmers using ASC-based services (person). 6. Proportion of rainfed farmers satisfied with available	Indicator 1, 6: additional questions added to quantitative RIMS baseline and impact survey. Annual survey (smaller sample) of benefitting farmers in year 4 and possibly also in year 3. Indicator 1, 4 & 5: ASC management to work with ASC-based enterprises to record total numbers of clients. Indicator 2 & 3: records kept by machinery operators trained under the project.	GOB adopts more efficient, cost-effective support system following project reform of incentive structures for smallholder agriculture.

Narrative Summary	Verifiable Indicators (disaggregated by sex and capturing youths where possible)	Means of Verification	Assumptions/Risks (as per Project Design Report)
	agricultural services (%). 7. Proportion of irrigation farmers satisfied with available services (%).	All complemented by qualitative analysis / case studies. Indicator 7: included in detailed study on pilot irrigation scheme (see above).	
Project Outputs			
Component 1. Sustainable Agricultural Production			
Output 1.1 Efficient agricultural mechanisation services available to smallholder farmers.	1. Government-owned tractors/implements sold or leased to private machinery contractors (number) 2. Private machinery contractors trained (person) 3. Private machinery contractors provided with Business Development Services (person) 4. Private machinery operators accredited (person) 5. Demonstrations with improved mechanized agricultural equipment (number) 6. Demonstrations with improved animal-drawn agricultural implements (number) 7. Mechanisation officers trained on agricultural equipment and farm operations (person) 8. Private contractors trained on agricultural equipment and farm operations (person)	Whoever carries out/organizes an activity (sale/lease of machinery, training, registering accredited operators, demonstration) fills a form with key data on the results, to be entered in the appropriate monitoring register.	Entrepreneurs take advantage of opportunity to be trained and invest in tractor mechanization as a business. GOB follows through with the decision to privatise agricultural mechanisation services.
Output 1.2 Improved rainfed agricultural practices adapted, tested and demonstrated.	1. Adaptive research trial sites established (number). 2. Adaptive research trials conducted (number). 3. Adaptive research reports produced (number). 4. SMSs, ADs and lead farmers trained in improved crop production technologies (person). 5. Demonstration plots established in the project area (number). 6. Crop demonstrations conducted at demonstration sites (number). 7. Farmers exposed to improved crop production methods at demonstration plots (person). 8. Farmers trained in conservation agriculture (person).	Whoever carries out/organizes an activity (establish trial site, conduct trial, conduct training, establish demonstration plot, carry out demonstration) fills a form with key data on the results, to be entered in the appropriate monitoring register.	GOB introduces a policy framework, which provides incentives to adopt improved agricultural techniques.
Output 1.3 Pilot scheme for smallholder wastewater irrigation established	1. Smallholder farmers to whom land in the pilot scheme has been allocated (person). 2. Developed irrigable area in the irrigation scheme (ha). 3. People trained in irrigation scheme management	Key data on membership will be kept by the scheme committee, on developed area by the irrigation officer. Whoever carries out/organizes an activity (training) fills a form with key data on the results, to be entered in the appropriate monitoring register.	Smallholder farmers able to access sufficient finance to develop irrigation plots. Irrigated plots are allocated to genuine smallholder farmers.

Narrative Summary	Verifiable Indicators (disaggregated by sex and capturing youths where possible)	Means of Verification	Assumptions/Risks (as per Project Design Report)
	(person). 4. Farmers trained in irrigated crop production (person). 5. Farmers trained post-harvest handling / marketing of irrigated crops (person).		
Component 2. Enabling Environment for Smallholder Agriculture			
Output 2.1 Capacity to deliver extension services improved	1. SMSs and ADs trained in extension methodologies (person). 2. Additional ADs recruited and mobile (person). 3. Ratio of farmers per extension worker reduced (farmer/AD). 4. Agro-dealers trained (person). 5. Village-based agents trained (person).	Whoever carries out/organizes an activity (training) fills a form with key data on the results, to be entered in the appropriate monitoring register. ADs submit data on clients for indicator 3.	Sufficient qualified and committed extension workers recruited.
Output 2.2 Agricultural Service Centres constructed and equipped to provide stakeholder identified services	1. ASCs established (number). 2. Cluster management committees established/supported (number). 3. Enterprises servicing smallholder farmers operating from ASCs (number).	ASC established means physical construction completed and management committee in place. ADs fill/update form for groups/associations/committees. M&E focal point reports on ASC-based enterprises.	GOB maintains a policy framework that provides effective incentives to entrepreneurs to invest in agricultural service provision. Farmers sufficiently participate in farmer clusters/organisations.
Output 2.3 Core agricultural institutional framework re-focussed, and strengthened	1. Changes made to ISPAAD operations/services as a result of the ASSP-supported comprehensive review (number). 2. Farmers benefitting from new land allocations (person).	Data from Land Boards the project works with.	Macro-economic policy framework remains receptive to concept of reducing subsidies to farmers.
Component 3. Project Management			
Output 3.1 Effective project administration and coordination	1. Key consultative stakeholder workshops held (number). 2. Study and survey reports produced (number). 3. Project expenditure compared to budgets (BWP). 4. AWPBs, progress and audit reports submitted on time (number).	PMT records and project accounts.	

Annex 1. Diagram summarizing proposed ASSP PM&E Systems



Annex 2. IFAD RIMS Indicators

RIMS Level 3 Indicators or Impact Indicators²¹

Millennium Development Goals	IFAD RIMS Level 3 Indicators
MDG1 - eradicate extreme poverty and hunger	1. <i>Households with improvement in household assets ownership index</i> , based on additional assets (productive assets, improved housing, etc.) (number) *
	2. <i>Reduction in the prevalence of child malnutrition</i> (% of) *
MDG2 - achieve universal primary education	3. Net enrolment ratio in primary education (%)
	4. Children completing primary/secondary school (number of)
MDG3 - promote gender equality and empower women	5. <i>Literacy rate</i> (by gender) (%)
	6. Ratio of literate females to males (%)
MDG6 - combat HIV/AIDS, malaria and other diseases	7. Reduction in the incidence of infectious disease (HIV/AIDS, malaria, tuberculosis) (% of)
MDG7 - ensure environmental sustainability	8. <i>People with access to improved sanitation</i> (number of)
	9. <i>People with sustainable access to an improved source of water</i> (drinking water) (number of)
* compulsory “anchor” impact indicator. x = Selected for ASSP. The five indicators in <i>italics</i> still feature as part of RIMS surveys and its reports, the others do not. <i>Household food security</i> is still included in RIMS surveys and is recommended as an indicator.	

RIMS Level 3 Indicators selected for ASSP are shown in Annex 6.

RIMS Level 2 Results (Outcomes)²²

- Likelihood of sustainability of groups managing infrastructure formed/strengthened
- Effectiveness of productive infrastructure - Irrigation schemes
- Effectiveness of productive infrastructure - Livestock water points
- Effectiveness of productive infrastructure - Rainwater harvesting systems
- Effectiveness of productive infrastructure - Other
- Effectiveness of productive infrastructure - Fish ponds
- Likelihood of sustainability of productive infrastructure - Irrigation schemes
- Likelihood of sustainability of productive infrastructure - Livestock water points
- Likelihood of sustainability of productive infrastructure - Rainwater harvesting systems
- Likelihood of sustainability of productive infrastructure - Other
- Likelihood of sustainability of productive infrastructure - Fish ponds
- Likelihood of sustainability of natural resources management groups formed/strengthened
- Effectiveness of natural resources management and conservation projects
- Effectiveness: improved performance of service providers
- Effectiveness: improved agricultural, livestock and fishery production
- Likelihood of sustainability of crop/ livestock production groups formed/ strengthened
- Likelihood of sustainability of saving and credit groups formed/strengthened
- Effectiveness: improved access of the poor to financial services
- Sustainability: improved performance of financial institutions
- Effectiveness: producers benefiting from improved access to markets
- Likelihood of sustainability of roads constructed/rehabilitated
- Likelihood of sustainability of processing facilities

²¹ Note that actual RIMS reporting uses different definitions: for example, for *Female/male literacy*, the following data would be reported: *Female household members that can read; Male household members that can read; Ratio of women to men between 15 and 24 that can read; Men between 15 and 24 that can read; Women between 15 and 24 that can read*; while for *Food security* the following data would be reported: *Households experiencing one hungry season; Month duration of first hungry season; Households experiencing two hungry seasons; Month duration of second hungry season*.

²² These Level 2 Results (2011 update) are broad results statements rather than indicators, which are rated (see main text) based on one or more project-specific supporting indicators and qualitative analysis.

- Likelihood of sustainability of marketing facilities
- Likelihood of sustainability of storage facilities
- Likelihood of sustainability of the marketing groups formed/strengthened
- Effectiveness: creation of employment opportunities
- Likelihood of sustainability of enterprises
- Effectiveness: promotion of pro-poor policies and institutions
- Effectiveness: community development
- Likelihood of sustainability of community groups formed/strengthened
- Likelihood of sustainability of apex organisations formed/strengthened
- Likelihood of sustainability of groups managing social infrastructure formed/ strengthened
- Effectiveness of social infrastructure - Drinking water systems
- Effectiveness of social infrastructure - Health centres
- Effectiveness of social infrastructure - Schools
- Effectiveness of social infrastructure - Other
- Likelihood of sustainability of social infrastructure - Drinking water system
- Likelihood of sustainability of social infrastructure - Health centres
- Likelihood of sustainability of social infrastructure - School
- Likelihood of sustainability of social infrastructure – Other

RIMS Level 2 Results Indicators selected from the above list for ASSP are shown in Table 5 of the main text.

Rating scale for Level 2 Results

Effectiveness		
1	Highly Unsatisfactory	The intended results are highly unlikely to be achieved. No further resources should be committed until a new approach is devised. Consideration should be given to cancelling component/output.
2	Unsatisfactory	The intended results have not been achieved. Major corrections need to be introduced.
3	Moderately Unsatisfactory	The intended results have been achieved to a limited extent. Corrections need to be introduced to improve performance.
4	Moderately Satisfactory	The intended results have been partly achieved. Modifications should be introduced to improve performance.
5	Satisfactory	The intended results have been achieved.
6	Highly Satisfactory	Intended results have been surpassed. The implementation approach can be considered as a best practice.
Sustainability		
1	Very Weak	None of the supporting factors are in place. Sustainability is very unlikely.
2	Weak	Hardly any of the supporting factors are in place. Sustainability is unlikely.
3	Modest	Some of the supporting factors are in place but they are not sufficient to ensure sustainability. Sustainability is unlikely.
4	Moderate	Some supporting factors are in place but additional support is needed to ensure sustainability.
5	Strong	The most important supporting factors are in place. Sustainability is likely.
6	Very Strong	All supporting factors are in place that will ensure sustainability. Sustainability is very likely.

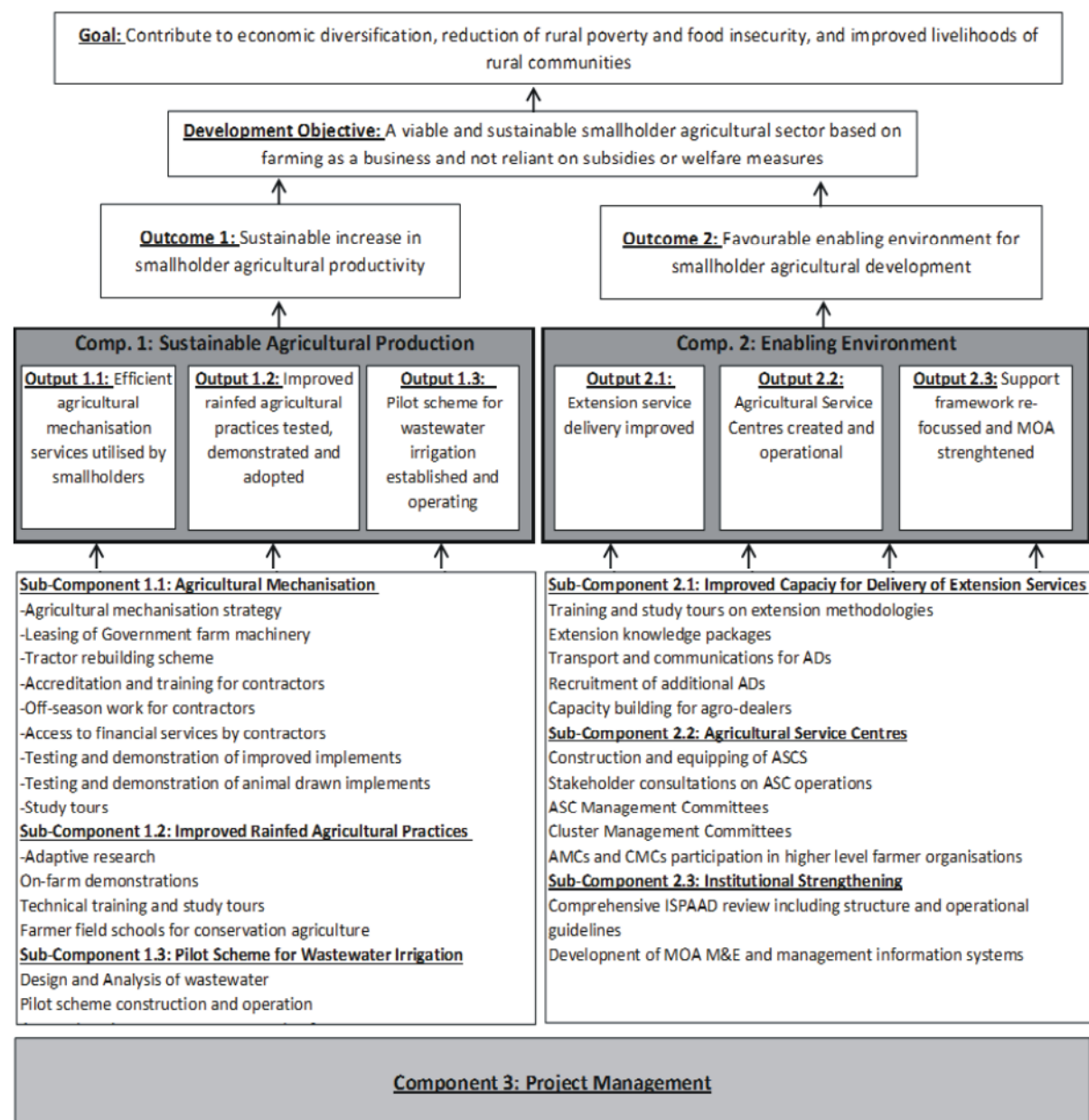
RIMS Level 1 Indicators (Outputs)

- People trained in infrastructure management
- Groups managing infrastructure formed/strengthened
- People in groups managing infrastructure formed/strengthened
- Groups managing infrastructure with women in leadership position
- Land under irrigation schemes constructed/rehabilitated
- Livestock water points constructed/rehabilitated
- Rainwater harvesting system constructed/rehabilitated
- Fish pond constructed/rehabilitated
- People trained in natural resources management
- Natural resources management groups formed/strengthened
- People in natural resources management groups formed/strengthened
- Natural resources management groups with women in leadership position
- Environmental management plans formulated
- Land under improved management practices
- Other productive infrastructure constructed/rehabilitated
- Staff of service providers trained
- People trained in crop production and technologies
- People trained in livestock production and technologies
- People trained in fish production and technologies
- People accessing advisory services facilitated by project
- Households receiving animals from restocking/redistribution
- Households receiving animal health services
- Crop/ livestock production groups formed/ strengthened
- People in crop/ livestock production groups formed/ strengthened
- Crop/livestock production groups with women in leadership position
- Saving and credit groups formed/strengthened
- People in saving and credit groups formed/strengthened
- Saving and credit groups with women in leadership position
- Financial institutions participating in the project
- Staff of financial institutions trained
- Voluntary savers (disaggregated by gender)
- Value of voluntary savings
- Active borrowers (disaggregated by gender)
- Value of gross loan portfolio
- Active borrowers (enterprises)
- Value of the gross loan portfolio (enterprises)
- People trained in financial services
- People trained in post-production, processing and marketing
- Roads constructed
- Processing facilities constructed/rehabilitated
- Marketing facilities constructed/rehabilitated
- Storage facilities constructed/rehabilitated
- Marketing groups with women in leadership position
- Marketing groups formed/strengthened
- People in marketing groups formed/strengthened
- People trained in income generating activities
- People receiving vocational training
- People trained in business and entrepreneurship skills
- Enterprises accessing non-financial services facilitated by the project
- Enterprises accessing financial services facilitated by the project
- Government officials and staff trained
- People trained in community management topics
- Community workers and volunteers trained
- Community groups formed/strengthened
- People in community groups formed/strengthened
- Community groups with women in leadership position
- Village/Community plans formulated
- People accessing development funds created under the project
- Apex organisations formed/strengthened
- Groups managing social infrastructure formed/ strengthened
- People in groups managing social infrastructure formed/strengthened
- Groups managing social infrastructure with women in leadership position
- Drinking water systems constructed/rehabilitated
- Health centres constructed/rehabilitated
- Schools constructed/rehabilitated
- Other social infrastructure constructed/rehabilitated
- People receiving project services
- Households receiving project services
- Groups receiving project services
- Communities receiving project services

The RIMS Level 1 Indicators that have been selected from the above list for ASSP are presented in detail in Annex 4.

Annex 3. ASSP Intervention Logic

The diagram is from the Project Design Document, and shows the intervention logic from activities to outputs, outcomes and impact.



Annex 4. Revised ASSP Output Indicators and RIMS Level 1 Indicators

The output indicators presented in the tables below are based on a revised logical framework prepared during the first year of implementation, but with substantial modifications based on discussions with the M&E Officer. The following principles and definitions have been used.

- Outputs are deliverables at the second lowest level of the logical framework: they can be “bought” when activities are appropriate and resources are used well. They are also the level of control and accountability of ASSP: the direct results of efforts made and money spent.
- Output monitoring should be possible as part of implementation, “to implement means to monitor”, and should not require separate data collection efforts. The exception is occasional qualitative analysis to assess, for example, the effectiveness of training.
- Indicators are only included for things that need to be counted, not for a single study to be conducted or system to be established.

The first column contains indicators as per the logical framework that was available at the start of the mission. The second column contains modified or additional project-specific indicators, with a unit of measurement in the third column. The fourth indicates proposed disaggregation, which can be geographically (by district), by sex (men/women), and by age group (youth, those between 18-35 years old, and non-youth, those older than 35). The fifth column contains RIMS level 1 indicators related to the project-specific indicator, which can be used for IFAD RIMS reporting. The last column has descriptions on how the data would be collected (Means of Verification).

Logframe indicator	Proposed new/revision	Unit	Disaggregation	Related RIMS-indicator	Unit	MOV – how to get the data
Output 1.1 Efficient agricultural mechanisation services available to smallholder farmers						
x	Government-owned tractors/implements sold or leased to private machinery contractors	Number	- by district - by type	x	x	Whoever carries out/organizes the sale/lease fills a form on infrastructure/facilities and submits to the M&E Officer, who enters in the Structures and Facilities Register.
x	Private machinery contractors trained	Person	- by district - men / women	Staff of service providers trained	- male - female	Whoever conducts/organizes the training fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who enters in Training Register.
x	Private machinery contractors provided with Business Development Services	Person	- by district - men / women	People trained in business and entrepreneurship skills	- male - female	Whoever provides/organizes the services fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who enters in Training Register.
60% of farm machinery contractors accredited with appropriate equipment and quality services.	Private machinery operators accredited	Person	- by district - men / women	x	x	Whoever registers machinery operators submits data to the M&E Officer, who enters in a General Register.

Logframe indicator	Proposed new/revision	Unit	Disaggregation	Related RIMS-indicator	Unit	MOV – how to get the data
Level of farmer satisfaction with services provided by MOA and private contractors	x (outcome level)	x	x	x	x	x
x	Demonstrations with improved mechanized agricultural equipment	Number	- by district	x	x	Whoever organizes a demonstration submits data to the M&E focal point, who submits to M&E Officer, who enters in a General Register.
x	Demonstrations with improved animal-drawn agricultural implements	Number	- by district	x	x	Whoever organizes a demonstration submits data to the M&E focal point, who submits to M&E Officer, who enters in a General Register.
x	Mechanisation officers trained on agricultural equipment and farm operations	Person	- men / women	Government officials and staff trained	- male - female	Whoever conducts/organizes the training fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who enters in Training Register.
x	Private contractors trained on agricultural equipment and farm operations	Person	- by district - men / women	Staff of service providers trained	- male - female	Whoever conducts/organizes the training fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who enters in Training Register.
Output 1.2 Improved rainfed agricultural practices adapted, tested and demonstrated						
x	Adaptive research trial sites established	Number	by district	x	x	Officer who established/is responsible for a site reports to M&E focal point, who submits to M&E Officer, who enters in General Register.
x	Adaptive research trials conducted	Number	by district	x	x	Whoever conducts/is responsible for a trial reports to M&E focal point, who submits to M&E Officer, who enters in General Register.
x	Adaptive research reports produced	Number	x	x	x	Reports are submitted to PMT, M&E Officer enters key data in General Register.
x	SMSs, ADs and lead farmers trained in improved crop production technologies	Person	- men / women	Government officials and staff trained	- male - female	Whoever conducts the training/study tour fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who enters in Training Register.
No. of demonstration plots in Project area	Demonstration plots established in the project area	Number	by district	x	x	Officer who established/is responsible for a plot reports to M&E focal point, who submits to M&E Officer, who enters in General Register.
x	Crop demonstrations conducted at demonstration sites	Number	by district	x	x	Whoever organizes a demonstration fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who

Logframe indicator	Proposed new/revision	Unit	Disaggregation	Related RIMS-indicator	Unit	MOV – how to get the data
x	Farmers exposed to improved crop production methods at demonstration plots	Person	- by district - men / women - persons 35 years old or below	People trained in crop production and technologies	- male - female	enters in Training Register.
x	Farmers trained in conservation agriculture	Person	- men / women - persons 35 years old or below	People trained in crop production and technologies	- male - female	Whoever conducts the training fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who enters in Training Register.
Output 1.3 Pilot scheme for smallholder wastewater irrigation established						
No of active smallholder irrigation farmers in pilot scheme	Smallholder farmers to whom land in the pilot scheme has been allocated	Person	- men / women - persons 35 years old or below	People in groups managing infrastructure formed/strengthened	- male - female	List of members kept by scheme committee. PMT irrigation officer fills/updates a template/monitoring form for farmer groups/associations/committees and submits to M&E Officer, who enters in Groups Register.
Land under irrigation scheme constructed	Developed irrigable area in the irrigation scheme	Ha	x	Land under irrigation schemes constructed/rehabilitated	Ha	Developed means land is ready to be cropped and systems are ready to deliver water. AWPB to include scheme development as activity with ha as target. PMT irrigation officer provides updated information, M&E Officer enters in ... register.
x	People trained in irrigation scheme management	Person	- men / women - persons 35 years old or below	People trained in infrastructure management	- male - female	Whoever conducts the training fills a template/monitoring form for training, submits to PMT irrigation officer, who submits to M&E Officer, who enters in Training Register.
x	Farmers trained in irrigated crop production	Person	- men / women - persons 35 years old or below	People trained in crop production and technologies	- male - female	Whoever conducts the training fills a template/monitoring form for training, submits to PMT irrigation officer, who submits to M&E Officer, who enters in Training Register.
x	Farmers trained post-harvest handling / marketing of irrigated crops	Person	- men / women - persons 35 years old or below	People trained in post-production, processing and marketing	- male - female	Whoever conducts the training fills a template/monitoring form for training, submits to PMT irrigation officer, who submits to M&E Officer, who enters in Training Register.
Component 2. Enabling Environment for Smallholder Agriculture						
Output 2.1 Capacity to deliver extension services improved						
Staff of extension service providers trained	SMSs and ADs trained in extension methodologies	Person	- by district - men / women	Government officials and staff trained	- male - female	Whoever conducts the training fills a template/monitoring form for training, submits to M&E Officer, who enters in Training Register.
x	Additional ADs recruited and mobile	Person	- by district - men / women	x	x	M&E focal point submits data to M&E Officer who enters in General Register.

Logframe indicator	Proposed new/revision	Unit	Disaggregation	Related RIMS-indicator	Unit	MOV – how to get the data
Extension worker: farmer ratios reduced in Project areas	Ratio of farmers per extension worker reduced	Farmer / AD	- by district	x	x	ADs submit data on clients to M&E focal point, who submits to M&E Officer, who enters in General Register.
At least 30% female ADs on project areas	x (a gender target)	x	x	x	x	x
Level of farmer satisfaction with extension services	x (outcome level)	x	x	x	x	x
x	Agro-dealers trained	Person	- by district - men / women	Staff of service providers trained	- male - female	Whoever conducts the training fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who enters in Training Register.
x	Village-based agents trained	Person	- by district - men / women	x	x	Whoever conducts the training fills a template/monitoring form for training, submits to M&E focal point, who submits to M&E Officer, who enters in Training Register.
Output 2.2 Agricultural Service Centres constructed and equipped to provide stakeholder identified services						
No. of farmer organisations formed and/or strengthened and their level of participation in higher level organisations	x	x	x	x	x	x
No of ASC management committees established and active	ASCs established	Number	- by district	x		Established means physical construction completed and management committee in place. M&E focal point fills/updates a template/monitoring form for groups/associations/committees, submits M&E Officer, who enters in Groups Register.
No of cluster management committees established and active	Cluster management committees established / supported	Number	- by district	x		AD working with cluster fills/updates a template/monitoring form for farmer groups/associations/committees, submits to M&E focal point, who submits to M&E Officer, who enters in Groups Register.
Representation of ASC and cluster committees in higher level farmer organisations	x	x	x	x	x	x

Logframe indicator	Proposed new/revision	Unit	Disaggregation	Related RIMS-indicator	Unit	MOV – how to get the data
Increase in the number of businesses providing services through the ASCs	Enterprises servicing smallholder farmers operating from ASCs	Number	- by district	x		M&E focal point fills/updates a template/monitoring form for institutions, submits to M&E Officer, who enters in a register.
Output 2.3 Core agricultural institutional framework re-focussed, and strengthened						
Policy change regarding ISPAAD approach	Changes made to ISPAAD operations / services as a result of the ASSP-supported comprehensive review	Number	x	x	x	Data from ?. M&E Officer enters data in General Register.
MOA M&E and MIS operating effectively by end of 2014	x	x	x	x	x	x
Average time taken to process a land application through district land boards reduced	Farmers benefitting from new land allocations	Person	- men / women - persons 35 years old or below	x	x	Data from Land Boards the project works with. M&E Officer enters data in General Register.
Component 3. Project Management						
Output 3.1 Effective project administration and coordination						
x	Key consultative stakeholder workshops held	Number	x	x	x	Startup and annual stakeholder workshops. M&E Officer enters data in General Register.
x	Study and survey reports produced	Number	x	x	x	Baseline, gender, MTR, PCR, 3 special studies. M&E Officer enters data in General Register.
x	Project expenditure compared to budgets	BWP	x	x	x	Total expenditure from project accounts divided by total budget in AWPB. M&E Officer enters data in General Register.
x	AWPBs, progress and audit reports submitted on time	Number	x	x	x	Three per year. IFAD provides data on documents considered submitted on time. M&E Officer enters data in General Register.

Annex 5. Revised ASSP Outcome Indicators and RIMS Level 2 Results

The outcome indicators presented in the table below are based on a revised logical framework prepared during the first year of implementation, but with substantial modifications based on discussions with the M&E Officer. The first column contains indicators as per the logical framework that was available at the start of the mission. The second column contains modified or additional project-specific indicators, with a unit of measurement in the third column. The fourth indicates proposed disaggregation, which can be geographically (by district), by sex (men/women), and by age group (youth, those between 18-35 years old, and non-youth, those older than 35). The fifth column contains RIMS level 2 results statements, related to the project-specific indicator, which would be used for IFAD RIMS reporting by giving them a rating on a scale from 1-6, most likely starting at the end of year 3 (2014/15), for RIMS reporting due by March 2015. The last column has descriptions on how the data would be collected (Means of Verification).

Logframe indicator	Proposed new/revision	Unit	Disaggregation	Related RIMS-result	MOV
Development Objective: achieve a viable and sustainable smallholder agricultural sector based on farming as a business, and not reliant on subsidies or welfare measures					
65% of targeted 20,000 rural HH double incomes from crops	x (impact level and difficult to measure)	x	x	x	x
50% reduction in number of rural households receiving subsidised agricultural inputs (within 20 km of ASCs)	Average value (in real terms) of subsidized inputs received by target group farmers	BWP	- men / women - persons 35 years old or below	x	Annual survey of 100 benefitting farmers starting in year 3 or year 4. Also included in baseline survey and completion survey.
x	Increase (in real terms) of average household income from crops sold	%	- men / women - persons 35 years old or below	x	Annual survey of 100 benefitting farmers starting in year 3 or year 4. Also included in baseline survey and completion survey.
x	Proportion of irrigation farmers who have paid their dues/contributions	%	- men / women - persons 35 years old or below	Likelihood of sustainability of productive infrastructure - Irrigation schemes	Scheme management record data. M&E Officer to collect from scheme management.
Outcome 1: sustainable increase in smallholder agricultural productivity					
Number of farmers adopting recommended technologies (RIMS 2.2.2)	x (move to outcome 2)	x	x	x	x
Average rainfed crop yields (maize, millet, sorghum) of target households increased from 0.25 to 1.0 t/ha by 2016	Average yield for rainfed crops (maize, sorghum, millet) among target households	kg/ha	- men / women - persons 35 years old or below	Effectiveness: improved agricultural, livestock and fishery production	Annual survey of 100 benefitting farmers starting in year 3 or year 4. Also included in baseline survey and completion survey.

Logframe indicator	Proposed new/revision	Unit	Disaggregation	Related RIMS-result	MOV
x	Proportion of target households reporting yield increase for rainfed crops	%	- men / women - persons 35 years old or below		Annual survey of 100 benefitting farmers starting in year 3 or year 4. Also included in baseline survey and completion survey.
At least 195,000 ha of crops grown in Project area using appropriate cultivation and planting methods	x	x	x	x	x
x	Total area cropped and harvested in the irrigation scheme	ha	- men / women - persons 35 years old or below	Effectiveness of productive infrastructure - Irrigation schemes	Double cropping possible. Scheme management to collect and record data from members. M&E Officer to collect from scheme management.
Outcome 2: favourable enabling environment for smallholder agricultural development					
New number of groups/organizations operational/functional (RIMS 2.2.3), (includes ASC and cluster management committees)	x (output level)	x	x	x	x
Number of groups /clusters formed	x (output level)	x	x	x	x
Number of farmers adopting recommended technologies (RIMS 2.2.2) (from outcome 1)	Proportion of target group farmers adopting technologies recommended by the project	%	- men / women - persons 35 years old or below	Effectiveness: improved performance of service providers	Annual survey of 100 benefitting farmers starting in year 3 or year 4. Also included in baseline survey and completion survey.
x	Proportion of farmers using hired mechanized services	%	- men / women - persons 35 years old or below		Machinery operators trained will keep records (form) on farmers they hire equipment to. M&E focal point collects data, submits to M&E Officer, who enters in monitoring register.
x	Cropped area covered using mechanized services	ha	- men / women - persons 35 years old or below		Machinery operators trained will keep records (form) on farmers they hire equipment to and areas. M&E focal point collects data, submits to M&E Officer, who enters in monitoring register.
x	Cropped area under Conservation Agriculture	ha	- men / women - persons 35 years old or below		Annual survey of 100 benefitting farmers starting in year 3 or year 4. Also included in baseline survey and completion survey.
x	Farmers using ASC-based services	Person	- men / women		ASC management to work with ASC-based enterprises to record total numbers of clients.

Botswana

Agricultural Services Support Project (ASSP)

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Appendix 8: Planning , Monitoring and Evaluation (M&E)

Logframe indicator	Proposed new/revision	Unit	Disaggregation	Related RIMS-result	MOV
x (from output level)	Proportion of rainfed farmers satisfied with available agricultural services	%	- men / women - persons 35 years old or below		Annual survey of 100 benefitting farmers starting in year 3 or year 4. Also included in baseline survey and completion survey.
x	Proportion of irrigation farmers satisfied with available services	%	- men / women - persons 35 years old or below		Annual survey of 100 benefitting farmers starting in year 3 or year 4. Also included in baseline survey and completion survey.

Annex 6. ASSP Impact Indicators

Goal/Impact Level. The goal of the project is *to contribute to economic diversification, reduction of rural poverty and food insecurity, and improved livelihoods of rural communities*. Three standard IFAD RIMS indicators are used to measure impact. Results that are more specifically relevant for the MoA are captured at outcome level, including yield levels and increased income from crops sold.

No.	RIMS Level 3 Indicator	Unit	Suggested approach to measurement / data collection
1	Reduction in prevalence of child malnutrition	%	Standard RIMS survey. Over a large sample of households, increased crop output and income from crops would result in improved nutrition for the entire household and especially for children, through increased food security due to an increased food stock and capacity to buy food if necessary. Over time, chronic malnutrition which reflects deprivation over a period of months or years, would reduce for children in target group households. During household interviews, collect data on height and weight of children under five years old. Baseline and impact surveys compare totals. Disaggregate by sex / age group of the project beneficiary / head of household.
2	Increase in social and productive assets of rural households (household asset index)	%	Standard RIMS survey. Over a large number of households, increased income from crops would result in increased asset ownership: people invest in household/productive assets. Ask households about ownership for standard assets on the RIMS questionnaire, add some country-specific assets if needed. Repeat and compare baseline-impact situation. There are various ways to report the findings in an impact report: for example, number of households that own at least 4 out of 9 assets has increased from .. to ..; number of households that own a mobile phone has increased from .. to .. Disaggregate by sex / age group of the project beneficiary / head of household.
3	Households for which food security has improved	%	Standard RIMS survey. Over a large sample of households, increased crop output and income from crops would result in increased food security due to an increased food stock and capacity to buy food if necessary, and therefore a reduced prevalence/duration of the 'hungry season'. Ask households if they experienced a hungry season during the last 12 months (food stock finished, money inadequate to buy food) → record yes/no. Baseline and impact surveys compare totals. Ask households about the start (month) and end (month) of the hungry season → note these down. Baseline and impact survey, calculate averages duration of the hungry season (months), compare. Disaggregate by sex / age group of the project beneficiary / head of household.

Annex 7. Draft Terms of Reference for Baseline Survey

MINISTRY OF AGRICULTURE AGRICULTURAL SERVICES SUPPORT PROJECT (ASSP) TERMS OF REFERENCE FOR A BASELINE SURVEY Draft

1. BACKGROUND

The Government of Botswana (GoB) with support from the International Fund for Agricultural Development (IFAD) is implementing the Agricultural Services Support Project (ASSP). The overall goal and expected impact of ASSP is to *“contribute to economic diversification, reduction of rural poverty and food insecurity, and improved livelihoods of rural communities”*. The project intends to achieve one development objective, *“a viable and sustainable smallholder agricultural sector based on farming as a business, and not reliant on subsidies or welfare measures”* and two project outcomes, *“sustainable increase in smallholder agricultural productivity”* and *“a favourable enabling environment for smallholder agricultural development”*, through:

- 1. a shift in emphasis from horizontal expansion of rainfed agriculture to improvement in agricultural productivity through lower-cost mechanisation options combined with improved rainfed crop agronomy;*
- 2. more effective service delivery to farmers through Agricultural Service Centres (ASC) and the extension system generally;*
- 3. a pilot scheme to develop and demonstrate a viable model for small-scale irrigation based on treated wastewater; and*
- 4. institutional strengthening aimed at improving the effectiveness of ISPAAD and enhance the capacity of the Ministry of Agriculture (MOA) to undertake monitoring and evaluation and information management.*

The project's target group consists of around 20,000 farming households, with a focus on smallholders experiencing household food and income insecurity, but with the potential to benefit from improved agricultural services and technologies. Within this population there are four principal groups to be targeted:

- 1. smallholder households hiring tractors for land preparation and planting;*
- 2. households who continue to cultivate at least part of their land using draught animals (and may hire out their draught power to others);*
- 3. women as smallholder farmers in their own right, as well as women in married households; and*
- 4. youth who are currently engaged, or potential new entrants into smallholder agriculture.*

The project has two main components.

Component 1. Sustainable Agricultural Production. This will include: formulating and implementing an agricultural mechanisation strategy with particular attention to the role of the private sector; a tractor and implement census; training and accreditation of private machinery contractors; testing and demonstration of improved agricultural implements; testing and demonstration of improved animal drawn implements; training on low cost minimum tillage and zero tillage systems; adaptive research trials for rainfed crop production; demonstrations in farmer fields on sound agronomic practices; training for extension workers, subject matter specialists, and lead farmers; farmer field schools for conservation agriculture; establishment and operation of a 29 ha pilot wastewater irrigation scheme attached to the Palapye wastewater treatment plant, including irrigation infrastructure, scheme management and farmer training.

Component 2. Enabling Environment for Smallholder Agriculture. This will include: training for frontline and sub-district extension staff in extension methodologies; developing gender- and youth-sensitive extension packages; improved transport and communication for extension staff; improving extension worker: farmer ratios; capacity building among agro-dealers; constructing and equipping fifteen Agricultural Service Centres (ASC), for provision of farm inputs, information, training/extension services, financial services and market linkages (depending on farmer requirements at different

locations); support for cluster management committees to facilitate the provision of mechanisation and other services to smallholders who have agreed to aggregate and fence their land; and strengthening of support institutions such as the MoA and Land Boards.

ASSP became operational in February 2012 and will be implemented over five years, to be completed by March 2017. The project is being implemented under the Department of Crop Production (DCP) of the MoA. A Project Management Team (PMT) has been established for the day-to-day coordination and management of the project.

Planning, monitoring and evaluation are critical and on-going functions under ASSP, to track implementation progress and key performance indicators of the project. As part of these efforts, ASSP intends to use funding available under the project to engage a consultant to conduct baseline survey activities in accordance with these Terms of Reference (TOR).

2. SCOPE OF THE BASELINE SURVEY

The objective of the consultancy is to provide information on the situation of the target group at the start of the project. This will enable ASSP to assess, in the future, the extent to which project objectives are being achieved. This focused baseline survey is expected to collect limited quantitative and qualitative data that is directly related to project objectives and indicators, regarding the agricultural activities, as well as household characteristics, of target group households. This will involve the following.

1. Collect quantitative baseline data for key impact indicators (see appendix 1) of the project following a standard approach developed by IFAD under its Result and Impact Management System (RIMS) and described in *Results and Impact Management System, Practical Guidance for Impact Surveys*, available at <http://www.ifad.org/operations/rims>. These guidelines describe the approach (sampling and data collection methodology). A questionnaire is available for data collection, as well as Standard software for data entry and processing.
2. Collect quantitative baseline data for key outcome indicators (see appendix 1) of the project. This will require preparation of a supplementary questionnaire that will be used in conjunction with the RIMS questionnaire. Processing and analysis of data on these indicators would be done using standard survey tools.
3. Provide qualitative, contextual baseline information for the households and livelihoods of farmers, which will lead to a better understanding of the currently existing production systems. This information should include the importance for rural households of income obtained from crops; the availability, utilization and quality of agricultural services; the needs, constraints, opportunities and priorities as seen by smallholder producers.
4. Prepare a draft study report, present the findings of the baseline study to key stakeholders at a workshop, and incorporate the feedback in a final study report.

The standard sample size used by IFAD in baseline/impact surveys, 900 households, is expected to be used. However, this may be modified in discussion between the consultant and ASSP. The survey findings, presented in a baseline study report, will be used in the future to assess the impact of the project, through small repeat surveys that will start after mid-term, as well as a large survey at completion of the project.

3. SPECIFIC TASKS EXPECTED TO BE CARRIED OUT

1. Review the project as described in the Project Design Document. Make suggestions to the PMT regarding the quantitative indicators and qualitative data to be collected.
2. Prepare a supplementary questionnaire with questions related to the outcome indicators. All data is to be collected and presented in the baseline survey report disaggregated by district, by sex (men/women), and by age group (youth, defined as the age group 18-35 years old, and non-youth, those older than 35 years).
3. Translate interview questions into local language as needed.
4. Prepare an outline for short semi-structured interviews to collect qualitative information from the households to be interviewed.

5. Carry out enumerator training, which should include field testing of the questionnaire and revision as needed, giving particular attention to their capacity to observe unexpected results as well as probing in order to obtain good quality data.
6. Discuss and agree with the PMT on the sample size and sampling methodology for the questionnaire-based quantitative data collection, that ensures appropriate households are visited which represent the target group of ASSP. The suggested approach is two-stage cluster sampling, involving random selection of 15 out of approximately 50 Extension Areas (EA) in the catchment areas of the proposed 15 ASCs (see Table 8); random selection of another 15 out of 100 EAs supported under ISPAAD but outside the ASC catchment areas; and within each selected EA, random selection of 30 household that meet beneficiary selection criteria. Selection criteria will be made available by the PMT.
7. Carry out quantitative and qualitative data collection according to plan, while ensuring that the quality of the data is to a high standard.
8. Clean and enter the quantitative data from the questionnaires using the RIMS software for the impact indicators, and other appropriate survey tools for the outcome indicators.
9. Analyse and interpret the quantitative and qualitative information collected during the baseline study.
10. Include “context assessment”, an analysis of temporary or permanent external influences at the time of the survey that may influence the results and are important to note for future reference.

Table 8. Planned ASCs by District

District	Planned ASCs
Chobe	1
Ngamiland	1
Central	6
North-East	1
Kweneng	2
Kgatleng	1
Southern	3

The consultant will prepare a brief inception report prior to commencement of the actual work, and discuss this with the PMT. Interviews will be conducted at the household level. The consultant should prepare the sample of EAs and the household selection methodology and submit these to the PMT for approval as part of the inception report.

The contract for the baseline study will be supervised by the PMT. The consultant will report to the Project Manager. Upon signing the contract, the consultant will work under the direct supervision of the M&E Officer of ASSP, with whom regular consultations are expected to take place.

4. EXPECTED OUTPUTS AND REPORTING

The following specific outputs are expected during the assignment.

1. The consultant will prepare a short inception report for the assignment prior to commencement of the actual work, and discuss this with the PMT.
2. After completing the field work, the consultant will prepare an outline for the draft survey report and discuss this with the PMT.
3. The consultant will prepare a draft report, submit this to the PMT and make a presentation on the main findings and the report to key stakeholders of the project in a workshop.
4. The quantitative data in the baseline survey report should be presented in detailed and summarized tables for project indicators, disaggregated by district, sex and age group (youth/non-youth), which should be accompanied by explanation and analysis covering the survey process, the meaning of the data, and statistical significance.
5. The consultant will incorporate feedback from the workshop and the PMT in a final report. All reports should be prepared in the English language.
6. The consultant will submit three hard copies and an electronic version on CD of the final report (MS-Word format) to the PMT. The CD should also include the full quantitative survey data set,

entered in or exported to MS-Excel. The original questionnaires completed during the interviews will also be submitted to the PMT.

The **Inception Report** will detail the consultant's services together with survey design and approaches to be adopted. The brief inception report should be presented to the client before the field work, and should comprise the following: a draft supplementary questionnaire; the proposed methodology and time length for the field work; the proposed sampling method; any comments and suggestions regarding indicators and data to be collected.

The **Final Report** will include all the relevant findings and recommendations. The baseline survey report will essentially be structured around the project indicators. The quantitative data should be presented in detailed and summarized tables for each indicator, which should be accompanied by text and analytical comments including information on the survey process, the meaning of the data, and statistical significance. It is suggested that the draft and the final reports have the following outline (to be discussed with the PMT): (i) Background; (ii) Objectives of the Study; (iii) Methodology; (iv) Presentation of the Data and Discussion of the Findings; (v) Conclusions and Recommendations; and (vi) Annexes (Questionnaires, Detailed Tables, etc).

5. TIME TABLE

The inception report is expected to include a realistic proposed time frame showing the different stages involved in the assignment and their duration. The entire exercise is expected to take a maximum of two months, as outlined in Table 9.

Table 9. Indicative work schedule

	week	1	2	3	4	5	6	7	8	9
• Familiarization with the project, prepare questionnaires and sampling method, prepare the inception report										
• Finalize indicators and the survey instruments, incorporating comments received on the Inception Report										
• Enumerator training and field testing										
• Field work, data collection										
• Data cleaning, entry and analysis										
• Prepare draft report, submit to the client, discuss with the PMT and during a stakeholders workshop										
• Incorporate comments received on the draft report, finalise and submit the final report										

One of the common problems is the assumption that smallholder farmers use standard measurement units (e.g. kg) to recall the quantity of crops they have produced/harvested/sold. In informal economies, non-standard measurement units such as cans should be included in the questionnaire, and the average weight of the different products in those cans should be obtained and used for calculations.

6. CONSULTANTS' QUALIFICATIONS

The assignment is to be carried out by a reputable institution with appropriate qualifications and expertise including the following:

1. proven expertise in designing and conducting quantitative and qualitative socio-economic surveys and baseline studies;
2. experience with rural development projects and their evaluation, including a thorough understanding of the use of the logical framework;

3. excellent analytical, communication and report writing skills;
4. previous experience with IFAD-supported projects or IFAD RIMS surveys is not required but would be an advantage.

7. SUBMISSION OF PROPOSALS

Interested consultants should submit a technical and financial proposal in separate envelopes as follows.

Technical Proposal

1. Demonstrate a clear understanding of the scope of work.
2. Describe in detail the proposed methodology and approach by the consultant to undertake the assignment.
3. Numbers, roles and qualifications of proposed staff, outlining their experience with carrying out similar work and including CVs and references.
4. Documentation of previous work of a similar nature carried out by the institution.
5. Time schedule indicating the sequence and duration of key activities.

Financial Proposal, including fee rates and an overview of reimbursable expenses.

8. SELECTION CRITERIA

The evaluation of proposals and selection of the consultant shall be conducted in accordance with Government Procurement Guidelines.

The selection criteria shall include the following scoring: [as per previous tender]

Appendix 1. ASSP indicators at impact and outcome level for which baseline data is required

Goal	Indicators
To contribute to economic diversification, reduction of rural poverty and food insecurity, and improved livelihoods of rural communities.	<ul style="list-style-type: none"> • Reduction in prevalence of child malnutrition (%). • Increase in social and productive assets of rural households (household asset index) (%). • Households for which food security has improved (%). <p>These are all RIMS indicators for which a standard questionnaire is available</p>
Development Objective	Indicators
Achieve a viable and sustainable smallholder agricultural sector based on farming as a business, and not reliant on subsidies or welfare measures.	<ul style="list-style-type: none"> • Increase (in real terms) of average household income from crops sold (%). • Average value (in real terms) of subsidized inputs received by target group farmers (BWP).
Project Outcomes	Indicators
Outcome 1. Sustainable increase in smallholder agricultural productivity.	<ul style="list-style-type: none"> • Average yield for rainfed crops (maize, sorghum, millet) among target households (kg/ha). • Proportion of target households reporting yield increase for rainfed crops (%).
Outcome 2. Favourable enabling environment for smallholder agricultural development.	<ul style="list-style-type: none"> • Proportion of farmers using hired mechanized services (%). • Cropped area covered using mechanized services (ha). • Cropped area under Conservation Agriculture (ha). • Proportion of rainfed farmers satisfied with available agricultural services (%).

Appendix 9: Financial Management

Introduction

1. The Agricultural Services Support Project (ASSP) is a 5-year Project, financed by the Government of the Botswana (GoB), and the International Fund for Agricultural Development (IFAD). The project was approved by IFAD in December 2010, and the Financing Agreement signed on on February 22, 2012, when the Loan and Grant became effective.

2. **The total cost of the Project, as planned at design** is USD 25.2 million. The amount as provided for in the Financing Agreement is SDR 3.625 million or USD 5.65 million equivalents, made up of the Loan, SDR 2.6 million, and Grant SDR 1.025 million. The other cost contributions include USD 19.082 million by the GoB and USD 289,000 by the project beneficiary Communities.

The objectives and conduct of the mission.

3. From 20 to 31 May 2013 the Financial Management Specialist will participate in the 2nd Joint Implementation Support Mission to ASSP in Botswana. Reporting to the Team Leader for the duration of the mission and the ensuing report-writing period, the Consultant will cover financial management and loan administration, with the following specific tasks:

- a) Discuss the status of the “Agreed Actions” from the 1st Joint Implementation Support Mission in Oct 2012 with the Finance Officer, the Procurement Officer and the Project Manager, and if not yet fully implemented: identify challenges and solutions to the continued progress of implementation of agreed actions;
- b) Assist the Finance Officer in all matters related to financial management;
- c) Assist the Procurement Officer in all matters related to procurement;
- d) Together with the Project Manager and the Financial and Procurement Officers go through the financial management sections of the draft Project Implementation Manual (PIM) and revise as necessary, in order to end up with a complete Financial Management Manual as part of the PIM;
- e) Review the status of the Designated Accounts and project accounts, with special focus on flow of funds and determine if these are in line with the Financing Agreement; liaise as necessary with MFDP finance and loan administration officers to establish efficient flow of funds to ASSP;
- f) Review the present MoA ‘Contracts Register Procedures’, and if applicable: assist in the setting up of a Contracts Register and the use of Contract Monitoring Forms (CMFs) for effectiveness in following-up on contractual obligations and entitlements;
- g) Review the Assets Register procedures;
- h) Together with the Project Manager and the Finance and Procurement Officers prepare and actively participate in round table discussions with MoA and MFDP staff involved in financial management and loan administration;
- i) Review readiness for External Audit, and if necessary assist the PMT to prepare the draft Financial statements for audit, that are consistent with the International accounting standards particularly the International Public Sector Accounting Standard (IPSAS);
- j) Provide on-the-job orientation for the Finance Officer and the Procurement Officer in IFAD financial management rules and procedures, including:
 - financial management and reporting;
 - loan administration and withdrawal application processing (specifically including SOEs);
 - procurement processes (GoB and IFAD);
 - IFAD General Conditions.
- k) Together with PMT members, especially the Project Manager, the Finance and Procurement Officers, develop “Agreed Actions” for the financial management, procurement and loan administration for the coming six months;
- l) Contribute to the update of the Project Status Report;
- m) Contribute to the Aide Mémoire;
- n) Prepare a Technical Annex that outlines the current status, challenges and possible solutions to identified implementation hurdles for the realization of efficient financial

- management and loan administration in ASSP, to be submitted in electronic copy to the Team Leader and the Deputy Team Leader by the 02 June 2013; and
- o) Perform a Financial Management Performance Assessment, on the basis of the questionnaire provided as Appendix II to IFAD Guidance Note at Supervision.

4. In the course of carrying out the assignments, the mission engaged with the officers of the ASSP PMT management, and other staff. The mission takes this opportunity to gratefully thank all these officials and staff for their time, support, cooperation and collaboration.

Detailed Work Done, findings, Recommendations and Way forward

Financial Management.

5. **Systems and Internal Controls:** The project financial management systems and procedures are in place. They are in form of a framework manual (the draft Project Implementation Manual) that includes the financial planning (through Annual Work Planning and Budgeting process (AWPBs), financial data capturing and accounting system, financial cash flow management, monitoring and reporting, and procurement and auditing. The manual has never been updated since the Project startup; this requires to be carried out together with refinement into clear result oriented-processes. The key addition is the installation of ORACLE accounting software within the ASSP financial management system and this is urgently required. Installation of the ORACLE should include the appropriate chart of accounts to facilitate the financial accounting and reporting by activities, components and expenditure categories, as well as reporting on actual expenditure performance on implemented AWPB activities.

6. Other required additions should include templates for financial statements for physical and financial progress reports as well as financial statements for Audit. The other procedures to be defined and developed are the reporting templates for reporting the expenditures incurred in the project districts against the approved AWPB provisions. The PMT currently has no capacity for carrying out these enhancements and revisions and it was agreed that the MFDP and IFAD should provide technical assistance to ASSP to undertake the tasks by 30 September 2013.

7. **The financial management Capacity, performance and financial reporting:** The financial management capacity for the project is inadequate and the performance in terms of access of Loan and Grant funds has not been effective and efficient. The financial management functions are carried out by the Financial Controller of the Ministry of Agriculture assisted by an intern and the financial controller is not fully dedicated to the ASSP. The Financial Controller is supposed to be facilitated by MoA's Planning Office for the access of funds from the MFDP. These arrangements have not been made to work diligently and in a timely manner for the IFAD Loan and Grant Funds.

8. The project requires a qualified two person team which is fully dedicated to the project's financial management with no other responsibilities. Their job descriptions should be defined to make them result oriented with clearly defined performance indicators in terms of deliverables and their timelines. The financial management team should be exposed to the "IFAD loan administration and financial management training". The assistance from the MoA Planning Office for the facilitation of the access of funds requires to be formalized, making it more efficient and effective. In addition also, each of the project's districts will have a specific focal qualified person formally defined and sensitized on the requirements for the funds remitted to them in terms of accounting and reporting statements for the expenditure. In order to ensure accuracy and timely performance the Project Manager and the Director of Department of Crop Production, need to increase their oversight role in resolving the current funds flow problems and procurement issues with timely, and result-oriented directions so as to remove the negative effect on project implementation. The oversight role should include a quarterly review of the Project financial management performance. In order to facilitate closer monitoring, the following activities will be carried out by the Financial Management Team:

- a) Monthly update of books of accounts and ledgers and full reconciliation with the bank accounts and production of a Trial balance.
- b) The reconciliation of the designated Accounts should be prepared at the end of each month for use as a management tool, and for checking the accuracy of the cash flow and expenditure accounting records, as well as tracking the levels of the expenditure that are pending. Withdrawal Application preparation and submission as soon as the prescribed threshold are achieved.

- c) Quarterly resources and expenditure statements should be prepared. The expenditures should be presented by components as well as by expenditure categories. The resulting surplus or deficit must be reconciled with the cash and Bank Balances.
- d) A budget performance report with details of activities implemented during the quarter, their actual expenditures and, comparison with budget and suitable explanations of major variances.

Table 10: Financial Performance by Financier

Financier	Appraisal (USD'000)	Disbursements USD'000	%age disbursed
IFAD Loan	4 040	393.0	9.7%
IFAD Grant	1 611	215.5	13.4%
Government of the Botswana	19 082	250.7	1.3%
Beneficiaries	289	-	0.0%
Total	25 022	859.2	3.4%

Table 11: Financial Performance by financier and Component

Components/Subcomponents	GoB			IFAD Loan			IFAD Grant			EBN			Total Investments		
	Appraisal USD'000	Actual USD'000	%	Appraisal USD'000	Actual USD'000	%	Appraisal USD'000	Actual USD'000	%	Appraisal USD'000	Actual USD'000	%	Appraisal USD'000	Actual USD'000	%
Sustainable Agricultural Production															
Agricultural Mechanization	901.0	-	0%	1 333.0	-	0.0%	0	0	0.0%	-	0	0.0%	2 234.0	-	0%
Improved Rainfed Agricultural Practices	1 952.5	-	0%	286.0	-	0.0%	455	0	0.0%	-	-	0.0%	2 693.5	-	0%
Pilot Scheme for Small holder Waste water Irrigation	202.5	-	0%	-	-	0.0%	644	0	0.0%	289	-	0.0%	1 135.5	-	0%
Sub-total-Sustainable Agricultural Production	3 056.0	-	0%	1 619.0	-	0.0%	1 099	0	0.0%	289	0	0.0%	6 063.0	-	0%
Enabling Environment for Smallholder Agriculture															
Improved Delivery of Extension Services	4 062.0	3.2	0%	1 717.0	-	0.0%	0	0	0.0%	0	-	0.0%	5 779.0	3.2	0.1%
Agricultural Service Centers	9 999.0	-	0%	296.0	-	0.0%	0	0	0.0%	0	-	0.0%	10 295.0	-	0%
Institutional Strengthening	401.0	-	0%	-	-	0.0%	512	25	0.0%	0	-	0.0%	913.0	25.1	3%
Sub-total-Enabling Environment for Smallholder Agriculture	14 462.0	3.2	0.0%	2 013.0	-	0.0%	512	25	0.0%	0	0	0.0%	16 987.0	28.3	0%
C. Project Management															
Sub-total- Project Management	1 564.0	240.7	15%	407.0	20.1	4.9%	-	-	0.0%	-	-	0.0%	1 971.0	260.9	13.2%
Total PROJECT COSTS	19 082.0	244.0	1%	4 039.0	20.1	0.5%	1 611.0	25.1	1.6%	289.0	0	0.0%	25 021.0	289.1	1.2%

9. Review of the IFAD Loan and Grant Designated Accounts, Funds Flow and Management;

The two designated accounts, for Loan and Grant Funds have been opened in the Bank of Botswana. On 9 January 2013, the Grant Fund account was credited with the proceeds of Withdrawal Application (WA) 1 and 2 made up of USD 22,500 and USD 193,000 respectively. Similarly, the Loan Fund account has been credited with the proceeds of WA2 amounting to USD 393,000. Out of the Grant Fund inflow, USD 20,284 has been spent on the Start-up workshop and service providers for the RIMS workshop. The USD balances of the Grant and Loan Funds accounts have been converted into Pula and transferred to deposit designated ledger accounts in the MFDP ledger accounts, numbers 67615 and 65218 respectively. The BWP proceeds conversion from the above USD proceeds have been confirmed with the statements from the MFDP.

10. The remaining key task is the installation of the cost centres, through which the project activities will access funds from these accounts. This important process has been unduly delayed leading to lack of utilization of the IFAD Grant and Loan Funds. It was agreed that the installation of the ASSP cost centres will be done as a matter of urgency. Once utilization of Grant and Loan funds starts to be effected, adjustments to the deposit designated accounts will be made simultaneously, and their monthly statements submitted to ASSP regularly, at the end of each month.

IFAD Loan and Grant Disbursement

11. **IFAD Grant Disbursement:** The Disbursement to date has been limited to the Special account Allocation amounting to USD 215,500 or SDR 139,759. However, as of the date of this mission, the expenditure incurred is BWP 187,563 or USD 25,000 equivalent, or approximately SDR 16,000. This represents 2% of projected Grant Utilization. This amount includes the cost of the start-up workshop, and other training and the share of the cost of one double cab pickup. The expenditure to date is less than 30% minimum for WA claim for replenishment. In order to ensure timely submission of the WA, it was agreed that the requisite Statements of Expenditure (SoEs) should be prepared to await the achievement of the 30% threshold.

Table 12: Disbursement of Grant Funds and Projected Utilization as at 15 May 2013

	Category description	Financing-Net of Taxes	Original Allocation	Disbursement Up to WA2	Estimated Grant Utilisation at 15 5 13	Projected Funds Balance at 15 5 13	Projected Grant Disbursement at 15 5 13
		%age	SDR'000	SDR'000	SDR'000	SDR'000	%age
I	Vehicles Equipment and Supplies	17%	145	-	1	144	0%
II	Civil Works for Irrigation Pilot Schemes	100%	210	-	-	210	0%
III	Technical Support, on firm Research and Studies		0	-	-	-	0%
	(a)Pilot Scheme for Smallholder Waste Water Irrigation	100%	365	-	-	365	0%
IV	Improvement of Extension Outreach	100%	230	-	16	214	7%
X	Unallocated		75	-	-	75	0%
Subtotal			1 025	0	16	1 009	2%
Initial deposit				140	-	140	
Total			1 025	140	16	869	15.2%

12. IFAD Loan Disbursement: The Disbursement to date has been limited to the part of the Special account Allocation amounting to USD 393,000 or SDR 254,950. The Loan Agreement authorizes an allocation of USD 600,000, and the project is entitled to the top-up balance of USD 207,000. The mission recommends submission of a WA for this top-up, with the aim of maximizing cash flow for supporting the expected project activities during implementation take-off. As for implementation, the project to-date has incurred expenditure amounting to BWP 160,816 or USD 20,000 equivalent, or approximately SDR 14,000 which represents 1% of the projected Loan Utilization. This includes the cost of training and the share of the cost of one double cab pickup. The expenditure to date is less than 30% minimum for WA claim for replenishment. In order to ensure timely submission of the WA, it was agreed that the requisite SoEs should be prepared to await the achievement of the 30% threshold.

Table 13: Disbursement of IFAD Loan Funds and Projected Utilization as at 15 May 2013

	Category description	Financing-Net of Taxes	Original Allocation	Disbursement up to - WA 1	Projected Loan Utilisation	Projected Funds Balance at 15 5 13	Projected Disbursement 15 5 13
		%age	SDR'000	SDR'000	SDR'000	SDR'000	%age
I	Vehicles Equipment and Supplies	17%	950	-	4	946	0%
II	Civil Works for Irrigation Pilot Schemes	100%	0	-	-	-	0%
III	Technical Support, on firm Research and Studies					-	
	(b)All other Components	100%	530	-	10	520	2%
IV	Improvement of Extension Outreach	100%	970	-	-	970	0%
X	Unallocated		150	-	-	150	0%
Subtotal			2 600	0	14	2 586	1%
Initial deposit				255	-	255	
Total			2 600	255	14	2 331	10.3%

GoB Counterpart Contribution

13. GoB counterpart contribution and Expenditure: All the expenditure incurred to date for the Project activities has been sourced through the GoB. For 2012/13, the contribution through Expenditure was BWP 1.6 million or USD 208,000. This amount includes salaries of the PMT staff amounting to BWP 1.5 million. For the 2013/14 financial year to date, the contribution is BWP 341,717 or USD 42,715 equivalents. The total contribution to date is approximately USD 250,715. **The mission commends the GoB for the strong commitment to the Project demonstrated by this contribution.**

Procurement

14. Procurement process and management: The procurement plan is consistent with the 2013/14 AWPB and includes all the items not procured in the 2012/13 financial year. The management of the procurement has not been carried out efficiently, effectively or in a timely manner. The bidding documents for Goods and Civil works as well as TORs for services are not pro-actively prepared on time in accordance with the milestone dates in the Procurement Plan. The undue delays are contributed partly by an inadequate capacity in the Procurement unit of the Department of Crop Production. The focal procurement officer for ASSP is engaged in other major procurements within the MoA. The procurement delays particularly for Technical Assistance and services are also contributed by failure to prepare or make early arrangements of the required TORs.

15. **Progress of the Procurement Plan implementation:** As of the date of the mission, two months into the current financial year 2013/14, only two items have been procured at a cost of BWP 534,000, or USD 71,200 equivalent, out of the annual budget of BWP 22.9 million or USD 3.1 million equivalents. The procurement process for the bulk of the balance is yet to start despite some of them having been planned for procurement in the 2012/13 financial year and carried over into the 2013/14 financial year. It is recommended that the focal Procurement officer with immediate effect be detached from other procurement responsibilities and be fully dedicated to the procurement of ASSP functions. Further, appropriate technical assistance will be facilitated that will ensure that the TORs for technical studies and designs for civil works for ASCs and the irrigation scheme are provided as planned.

16. **Review of the Procurement process of the Motor vehicle and the ToT training** was carried out, and the mission was satisfied that the process followed the GoB procurement procedures as laid down.

Loan Covenants

17. **Compliance with Loan Covenants:** Apart from slow take off of the programme activities the mission has not noted any contravention of the Loan Covenants.

Audit

18. **Statutory Audit:** The Loan Financing Agreement require that the audit is carried out and submitted to GoB and IFAD six months after the end of the financial year falling under audit. The Financial year 2012/2013 will be the first year of audit. The mission has assisted the PMT to prepare Draft Financial Statements, Accounts and Reports for Audit that is consistent with International Public Sector Accounts Standards (IPSAS). It was agreed that the draft will be presented to the Auditor General by 15 June 2013, to enable his office to carry out the audit. Also the draft will be submitted to IFAD for their comments as required by the Loan and Grant Financing Agreement. It was further agreed that the PMT will remain engaged with the Office of the Auditor General, so as to ensure clean audited accounts are submitted to IFAD and GoB on or before 30 September 2013 as required by the Loan and Grant Financing Agreement.

19. **Internal Audit:** The mission notes that the internal audit systems have been mainstreamed as part of the internal oversight controls of the project financial transactions. It was agreed that the internal audit reports will be **published** at the end of each quarter. These audit reports should present the work carried out, findings and agreed actions.

AGREED ACTIONS AND RECOMMENDATIONS.

20. The mission requests the PMT to give priority to the implementation of the agreed actions and recommendations. (Agreed Actions are listed in Appendix 3).

Annex 1: Project Fiduciary Risk Assessment at Supervision

Fiduciary Risk Assessment – Data Sheet²³

Risk Analysis Summary Table: IFAD Loan 818-BW and ICGGrant 818_ASSP

Implementing Agency : Ministry of Agriculture

	Risk Assessment H/M/L	Proposed Mitigation
Inherent Risk -The Botswana 2012 TI CPI was 6.5/10, with a world position of 3 out 141 countries and placed in the medium countries. Therefore the inherent risk should be considered low given that the index is between 3.3 and 6.6.	L	The 2011 CPI rate was 6.1. It improved to 6.5 in the year 2012.
Control Risks	M	
1. Budgeting	M	
2. Accounting Policies and Procedures and Staffing	H	The mission considers the FM team as inadequate, given the fact that the FC is not full time in the project and has no assistant.
3 Reporting and Monitoring Information Systems	H	Oracle accounting software domiciled in the MFPD should be extended to ASSP and appropriate Chart of Accounts installed.
4. Internal Control/Internal Audit	M	Internal Audit has been mainstreamed
5. Funds flow/disbursement arrangements.	H	The MFPD and MoA have to install the cost centres for use to access the Loan and Grant Funds.
6. External Audit	M	In Place.
Overall Project Fiduciary Risk	M	
H=High Risk, M=Medium Risk, L= Low Risk		

Comments: The GoB has the best transparent Public Financial Management Governance in Southern Africa using the yard stick of TI CPI index. However, the lack of full time dedication and financial accounting experience of the financial management team indicates a critical professional capacity gap. This is likely to lead to poor accounting and reporting. The MFPD support is inadequate, and so is the oversight of the MoA senior management. These issues pose real risks to the ASSP financial management.

²³ Include relevant findings of project supervision and progress reports, field visits, and audit report findings.

Fiduciary Risk Assessment – Data Sheet²⁴.

Country: Republic of Botswana		Loan Number: IFAD Loan 818-BW and I C Grant 818 BW.
Project Name		Agricultural Services Support Project
Executing Agency: Ministry of Agriculture		CPM: Geoffrey Livingston
Reviewing Finance Officer:		Date of This Review: 31 May 2013
Date of the last PSR prior to this rating: 28 October 2013	FM rating in the last PSR: 4	Date of the previous Joint Implementation Support Mission and rating: 28 October 2013- Rating 4

Topic		Rating H/M/L	Issues / Comments / Recommendations
A. Inherent Risks			
B. Control Risks			
1. Organization and Staffing			
a.	Adequacy of organizational structure to meet functional needs of the project	H	The team is not adequately made up. It is only one person who is not even fully dedicated to the programme activities. The Financial management team for the project should be two person qualified team to guarantee result oriented financial accounting and reporting including accuracy, timeliness, and prescribed deliverables.
b.	Availability of clear job description for key project positions, including fiduciary positions.	H	Job descriptions require clarity and revision so as to respond to (a) above.
c.	Adequacy of project financial management staff (numbers and skill) matching functional needs of project.	M	Not adequate. See comment in (a) above
d.	Segregation/ independence of functions for accounting, payments, procurement.	M	The appointed Financial Controller require an assistant to facilitate internal controls and checks.
e.	Availability and adequacy of operating manuals and guidelines for staff	M	PIM exists but requires revision to facilitate the processes for Chart of accounts, financial statements templates, and withdrawal applications.
2. Budgeting			
a.	Timely preparation and approval of project budget, issue of budget execution warrants.	M	
b.	Adequacy of Budget (including loan disbursement categories - schedule II), including financing plan for all sources, both donors and Govt., both loans and grants.	L	Not yet spent.
c.	Availability of detailed activity plans, procurement plans, cost estimates and assumptions to support budget requests.	M	

²⁴ Include relevant findings of project supervision and progress reports, field visits, and audit report findings.

d.	Availability of physical progress indicators where applicable.	M	
3. Fund Flows and Disbursements / Withdrawals			
a.	Timeliness of Funds disbursed by different sources, including counterpart (set benchmarks and test sample)	L	
b.	Efficiency of the funding channels. E.g. confirmation of funds reaching intended beneficiaries.	L	
c.	Management of project bank accounts other than Special Accounts, if any- reconciliations, idle funds	M	
d.	Banking arrangement and controls (reconciliation of bank statements with financial accounts)	M	
e.	Adequacy of controls and authorization process for use of funds (payments, transfers, Cash/Bank balance management).	L	
f.	Special Account(s)/Dedicated Account(s) Management, Disbursements	L	
	- size of the authorized allocation and adequacy thereof to ensure a smooth flow of funds to project accounts	L	
	- Method and adequacy of disbursement used	L	
	- Timely preparation and accuracy of Withdrawal Applications	H	Lack of experience may delay submission of WAs at the beginning.
	- Status on expenditures withdrawn from Special Account but not yet claimed for replenishment, including age analysis	L	No significant expenditure has taken place yet.
	- Regularity of Special Account(s) Monitoring and monthly reconciliations (assess the reconciliations)	L	
	- Disbursements profile - actual vs plans, systemic reasons for differences	L	Expenditure not yet began.
	- Recovery of SA balances by loan closure.	L	Not yet due
	- Adequacy of documentary support for SOE disbursements, reimbursements, direct payments and Special Commitments	L	Not yet due
	- Eligibility of expenditure under Legal Agreements	L	Not yet due
4. Internal Controls - Expenditure, Assets, Liabilities			
a.	Adherence to Project Management manuals- clarity and adequacy of decision processes and sequence of events for control functions in project implementation.	M	
b.	Effectiveness and efficiency of internal controls for revenue/inflows management (review audit reports)	M	
c.	Commitment tracking and control including comparison against allocated amounts by loan disbursement category	M	Currently under the Director Crop and the Ministry of Finance officials.
d.	Effectiveness and efficiency of IC for expenditures (full cycle from commitment, payment, receipt of good and services, approval of payments, classification, etc.) (also read SAI and other reports)	M	
e.	Effectiveness and efficiency of IC for assets/liabilities management and maintenance	M	
f.	Reliability of documentary evidence of outputs realized in project. Linkages between outputs realized and financial reports.	M	
g.	Physical controls over cash, documents and records.	M	
h.	Timely payment to suppliers and consultants (benchmark and test sample)	L	No major expenditures incurred yet.

i.	Eligibility of expenditures for Bank funds with respect to PDR, Loan agreements	M	
j.	Legality/eligibility of advances from project funds	M	
k.	Compliance with Financing Agreement – both loans and grants	L	
l.	Adequacy of record keeping for fixed assets and inventories		
5. Accounting Systems, Policies and Procedures			
a.	Adequacy of Accounting standards and practices (as designed/Agreed)	M	
b.	Recordkeeping (including documentation and filing/archiving)	L	GoB system systematic and reliable.
c.	Fixed Assets Records maintained and reconciled (sample and physical check)	M	FA register not yet formulated
d.	Adequate documentation and controls for Information Systems, integration of all sub-systems	M	
e.	Adequacy of chart of accounts for project accounting purposes	M	Not yet formulated
f.	Timeliness of recording transactions, controls on erroneous recordings	M	
6. Reporting & Monitoring			
a.	Completeness, accuracy, usefulness, and timeliness	M	Templates not yet formulated and included in the Financial Management Manual.
b.	Interim FM reports (FMRs, PMRs as relevant) or progress reports - timely preparation, submission	M	Not yet formulated and included in the Financial Management Manual.
c.	Follow up of previous Aide Memoirs, FMR/PMR or progress reports	M	
7. Internal Audit			
a.	Is project activity or implementing unit subject to internal audit?	L	Internal Audit now mainstreamed.
b.	Adequacy of internal audit organization - staff capacity	M	
c.	Adequacy of internal audit scope of work and quality of reports	M	
d.	Assessment of matters raised in audit reports	• N/A	• No audit has been carried out yet.
8. External Audit			
a.	Scope of 2012 audit.	• M	• Auditor General will do the Audit. Already sensitised and arrangements are in place.
b.	Audit report timeliness.	• M	Standards expected to be met.
c.	Quality of audit.	M	

Annex 2: Compliance with legal covenants: Status of Implementation

Compliance with Loan Covenants: Status of Implementation – Reviewed on 28 May 2013

Section	Covenant	Target/Action Due Date	Compliance Status/Date	Remarks
Section 4.01	Loan and Grant Accounts: Upon the entry into force of a Financing Agreement, the Fund shall open a Loan Account and/or a Grant Account in the name of the Borrower/Recipient and credit the principal amounts of the Loan and the Grant respectively thereto.	Accounts opened	Complied	
Section 4.02	Withdrawals from the Loan and Grant Accounts: (a) Between the date of entry into force of the Agreement and the Financing Closing Date, the Borrower/Recipient may request withdrawals from the Loan Account and/or Grant Account of amounts paid or to be paid for Eligible Expenditures. The Fund shall notify the Borrower/Recipient of the minimum amount for withdrawals. (b) No withdrawal shall be made from the Loan and/or Grant Accounts until the first AWPB has been approved by the Fund and the Fund has determined that all other conditions specified in the Financing Agreement as additional general conditions precedent to withdrawal have been fulfilled. The Financing Agreement may also establish additional specific conditions precedent to withdrawal applicable to particular categories or activities. Withdrawals to meet the costs of starting up the Project may be made from the date of entry into force of the Agreement, subject to any limits established in the Financing Agreement.	Withdrawals have commenced	Complied Complied	
SECTION 7.01. Project Implementation.	(a) The Borrower and each of the Project Parties shall carry out the Project: (i) with due diligence and efficiency; (ii) in conformity with appropriate administrative, engineering, financial, economic, operational, environmental and agricultural development practices (including rural development practices) and good		Complied	

Section	Covenant	Target/Action Due Date	Compliance Status/Date	Remarks
	<p>governance;</p> <p>(iii) in accordance with plans, design standards, specifications, procurement and work schedules and construction methods agreed by the Borrower/Recipient and the Fund;</p> <p>(iv) in accordance with the provisions of the relevant Agreement, the AWPBs, and the Procurement Plan;</p> <p>(v) in accordance with the policies, criteria and regulations relating to agricultural development financing laid down from time to time by the Governing Council and Executive Board of the Fund; and</p> <p>(vi) so as to ensure the sustainability of its achievements over time.</p> <p>(b) (i) Projects shall be implemented on the basis of an Annual Workplan and Budget (AWPB). The Lead Project Agency shall prepare a draft Project AWPB for each Project based, to the extent appropriate, on the draft AWPBs prepared by the various Project Parties. Each draft Project AWPB shall include, among other things, a detailed description of planned Project activities during the coming Project Year, a Procurement Plan, and the sources and uses of funds.</p> <p>(ii) Before each Project Year, the Lead Project Agency shall, if required, submit the draft Project AWPB to the oversight body designated by the Borrower/Recipient for its review. When so reviewed, the Lead Project Agency shall submit the draft Project AWPB to the Fund for comments no later than sixty (60) days before the beginning of the relevant Project Year. If the Fund does not comment on the draft Project AWPB within thirty (30) days of receipt, the AWPB shall be deemed acceptable to the Fund.</p> <p>(iii) The Lead Project Agency shall adopt the Project AWPB in the form accepted by the Fund.</p> <p>(iv) The Lead Project Agency may propose adjustments in the Project AWPB during the relevant Project Year, which shall become effective after acceptance by the Fund.</p>	Project implementation has just started albeit at a slow pace		
SECTION 7.03.	Availability of Additional Resources (a) In addition to	The GoB is	However the Loan and	

Section	Covenant	Target/Action Due Date	Compliance Status/Date	Remarks
	<p>the proceeds of the Financing, the Borrower/Recipient shall make available to the Project Parties such funds, facilities, services and other resources as may be required to carry out the Project in accordance with Section 7.01.</p> <p>(b) In addition to the proceeds of the Financing, the Financing Agreement may provide that the Borrower/Recipient shall make available to the Project Parties during the Project Implementation Period counterpart funds from its own resources in accordance with its customary national procedures for development assistance.</p>	injecting resources as required so far.	Grant Funds are not yet accessible.	
SECTION 7.05. Procurement	(a) Procurement of goods, works and services financed by the Financing shall be carried out in accordance with the provisions of the Borrower/Recipient's procurement regulations, to the extent such are consistent with the IFAD Procurement Guidelines. Each Procurement Plan shall identify procedures which must be implemented by the Borrower/Recipient in order to ensure consistency with the IFAD Procurement Guidelines.	The process of procurement is starting and no departure from the procedures is noted.		
SECTION 7.08. Insurance.	<p>(a) The Borrower/Recipient or the Lead Project Agency shall insure all goods and buildings used in the Project against such risks and in such amounts as shall be consistent with sound commercial practice.</p> <p>(b) The Borrower/Recipient or the Lead Project Agency shall insure the goods imported for the Project which are financed by the Financing against hazards incident to the acquisition, transportation and delivery thereof to the place of use or installation in accordance with sound commercial practice.</p>	Complied		
SECTION 8.02. Monitoring of Project Implementation	<p>The Lead Project Agency shall:</p> <p>(a) establish and thereafter maintain an appropriate information management system in accordance with the Fund's <i>Guide for Project Monitoring and Evaluation</i> with which it shall continuously monitor the Project;</p> <p>(b) during the Project Implementation Period, gather all data and other relevant information (including any and all information requested by the Fund) necessary to monitor the progress of the implementation of the Project and the</p>		The system is under design.	

Section	Covenant	Target/Action Due Date	Compliance Status/Date	Remarks
	achievement of its objectives; and (c) during the Project Implementation Period and for at least ten (10) years thereafter, adequately store such information, and, promptly upon request, make such information available to the Fund and its representatives and agents.			
SECTION 8.03. Progress Report and Mid-Term Reviews.	(a) The Lead Project Agency, or other party so designated in the relevant Agreement, shall furnish to the Fund periodic progress reports on the Project, in such form and substance as the Fund shall reasonably request. At a minimum, such reports shall address (i) quantitative and qualitative progress made in implementing the Project and achieving its objectives, (ii) problems encountered during the reporting period, (iii) steps taken or proposed to be taken to remedy these problems, and (iv) the proposed programme of activities and the progress expected during the following reporting period. 13 (b) If specified in an Agreement, the Lead Project Agency and the Fund shall jointly carry out a review of Project implementation no later than the midpoint of the Project Implementation Period (the “Mid-Term Review”) based on terms of reference prepared by the Lead Project Agency and approved by the Fund. Among other things, the Mid-Term Review shall consider the achievement of Project objectives and the constraints thereon, and recommend such reorientation as may be required to achieve such objectives and remove such constraints. (c) The Borrower/Recipient shall ensure that the recommendations resulting from the Mid-Term Review are implemented within the specified time therefor and to the satisfaction of the Fund. Such recommendations may result in modifications to the Agreement or cancellation of the Financing.		Report 2012/13 produced	
SECTION 8.04. Completion Report.	As promptly as possible after the Project Completion Date but in any event no later than the Financing Closing Date, the Borrower/Recipient shall furnish to the Fund a report on the overall implementation of the Project, in such form and substance as may be specified in the Financing		Not yet due	

Section	Covenant	Target/Action Due Date	Compliance Status/Date	Remarks
	Agreement or as the Fund shall reasonably request. At a minimum, such report shall address (i) the costs and benefits of the Project, (ii) the achievement of its objectives, (iii) the performance by the Borrower/Recipient, the Project Parties, the Fund of their respective obligations under the Agreement and (iv) lessons learned from the foregoing.			
SECTION 9.01. Financial Records.	The Project Parties shall maintain separate accounts and records in accordance with consistently maintained appropriate accounting practices adequate to reflect the operations, resources and expenditures related to the Project until the Financing Closing Date, and shall retain such accounts and records for at least ten (10) years thereafter.		Accounting system under design.	
SECTION 9.02. Financial Statements.	The Borrower/Recipient shall deliver to the Fund detailed financial statements of the operations, resources and expenditures related to the Project for each Fiscal Year prepared in accordance with standards and procedures acceptable to the Fund and deliver such financial statements to the Fund within four (4) months of the end of each Fiscal Year.	Due 30 July 2013	Process under way	
SECTION 9.03. Audit of Accounts.	The Borrower/Recipient shall: (a) each Fiscal Year, have the accounts relating to the Project audited in accordance with auditing standards acceptable to the Fund and the Fund's <i>Guidelines on Project Audits (for Borrowers' Use)</i> by independent auditors acceptable to the Fund; (b) within six (6) months of the end of each Fiscal Year, furnish to the Fund a certified copy of the audit report. The Borrower/Recipient shall submit to the Fund the reply to the management letter of the auditors within one month of receipt thereof; (c) if the Borrower/Recipient does not timely furnish any required audit report in satisfactory form and the Fund determines that the Borrower/Recipient is unlikely to do so within a reasonable period, the Fund may engage independent auditors of its choice to audit the accounts relating to the Project. The Fund may finance the cost of	Due 30 September 2013	Process under way	

Section	Covenant	Target/Action Due Date	Compliance Status/Date	Remarks
	such audit by withdrawal from the Loan and/or Grant Accounts.			
ARTICLE XI - TAXATION SECTION 11.01. Taxation.	(a) The Financing and all Loan Service Payments shall be exempt from all Taxes, and all Loan Service Payments shall be made free and clear of Taxes. (b) The Agreement shall be exempt from any Taxes on signature, delivery or registration. (c) The use of any proceeds of the Financing to pay for Taxes is subject to the Fund's policy of requiring economy and efficiency in the use of its Financing. Therefore, if the Fund at any time determines that the amount of any such Tax is excessive, discriminatory or otherwise unreasonable, the Fund may, by notice to the Borrower/Recipient, reduce the percentages of Eligible Expenditures to be financed by the Financing which are specified in the Financing Agreement.		Complied	

Annex 3: SOE Review Checklist

This Checklist was not applicable. The Project has not incurred any significant expenditure, and therefore no Withdrawal Applications for replenishment have been submitted to IFAD.

	SOE Review	Performed by, Date	Comments
3.1	Obtain the SOE-based withdrawal applications from Project or CPM, or Loan Officer, identify and select a sample of SOE withdrawal applications and transactions for field review. A random sample of SOEs shall be selected from the list of SOE disbursement applications available within the IFAD. The LG system is another way to obtain information about withdrawal applications.		
3.2	Review the control procedures related to SOE disbursement. The reviewer should consider the effectiveness of the following controls and document any exceptions:		
3.2.1	Appropriate levels of review and approval are in place and are followed for each stage of the expenditure process		
3.2.2	Procedures and responsibilities are clearly defined and are adequately documented		
3.2.3	Adequate segregation of duties exists between the initiation, authorization, disbursement, and recording functions		
3.2.4	Authorization and approval is obtained prior to incurring of the expenditure		
3.2.5	Documentation is maintained for an adequate period of time for purposes of fulfilling audit requirements as well as review by IFAD staff		
3.2.6	Commitments are made after applicable procedures have been followed		
3.2.7	The expenditures are properly accounted for into the books and financial reports of the project, and in cross-references in the SOE to relevant documentation (e.g. vouchers), presentation of information in the SOEs allows for ready access to the files for review and audit purposes		
3.3	<p>Review supporting documentation. For each loan, the documentation of a sample of withdrawal applications is reviewed. The documents that normally support payments are (a) evidence of receipt, invoice or performance, (b) evidence of payment, and (c) proper procurement documents. Such documents might include:</p> <ul style="list-style-type: none"> • procurement documents (bid documents, invitation, evaluation, award) • purchase contract • purchase order • letter of credit • supplier's invoice and certificate of origin • shipping or import documents and inspection certificates • contractor's or consultant's invoices or certificates • force account records • recurrent cost records • authorization for payment 		

	<ul style="list-style-type: none"> evidence of payment/bank statements accounting records of approvals, disbursements, and balances available <p>Question to address in review are:</p>		
3.3.1	Is the documentation readily available?		
3.3.2	Does it indicate that the expenditure was approved by an authorized official?		
3.3.3	Is it in original form?		
3.3.4	Does it relate to the project concerned?		
3.3.5	Are the computations correct and are there any errors or alterations?		
3.3.6	Are the category and disbursement percentage used correctly?		
7.4	<p>Verify eligibility of expenditures. The review determines whether the expenditures are properly supported and are eligible for IFAD disbursement in accordance with legal agreements. Ineligible expenditures would include:</p> <ul style="list-style-type: none"> duplicate invoices payments made in advance of receipt of good or delivery of services, unless these payments are consistent with contract provisions and are established commercial practice; payments that should have been made under normal disbursement procedures with full documentation (e.g. payments against contracts subject to the IFAD's prior review, or payments against contracts with values exceeding defined SOE limits); and payments for items that are not procured in accordance with the legal agreements, such as: <ul style="list-style-type: none"> payments for items from countries that are not eligible under the IFAD's Procurement Guidelines; payments for items not specified in the procurement and withdrawal schedules set forth in the Loan Agreement; payments made prior to credit signing or before the eligible date specified for retroactive financing; payments made for the expenditures incurred after closing date; payments for items on the negative list or not on the positive list (for adjustment operation lending). Payments and allowances made outside the contracts DSAs and other allowances over and above those in Government Circulars and not having received No Objection from IFAD Expenses claimed included taxes 		

